

## DEPARTMENT OF HEALTH AND HUMAN SERVICES

### Administration for Children and Families

(Program Announcement No. 93631-95-02)

#### Developmental Disabilities: Availability of Financial Assistance for Projects of National Significance for Fiscal Year 1995

**AGENCY:** Administration on Developmental Disabilities (ADD), Administration for Children and Families (ACF).

**ACTION:** Announcement of availability of financial assistance for Projects of National Significance for fiscal year 1995.

**SUMMARY:** The Administration on Developmental Disabilities, Administration for Children and Families, announces that applications are being accepted for funding of Fiscal Year 1995 Projects of National Significance.

This program announcement consists of five parts. Part I, the Introduction, discusses the goals and objectives of ACF and ADD. Part II provides the necessary background information on ADD for applicants. Part III describes the review process. Part IV describes the priorities under which ADD solicits applications for Fiscal Year 1995 funding of projects. Part V describes in detail how to prepare and submit an application. All of the forms and instructions necessary to submit an application are published as part of this announcement following Part V.

No separate application kit is either necessary or available for submitting an application. If you have a copy of this announcement, you have all the information and forms required to submit an application.

Grants will be awarded under this program announcement subject to the availability of funds for support of these activities.

**DATES:** The closing date for submittal of applications under this announcement is August 3, 1995.

**ADDRESSES:** Applications should be mailed to: Department of Health and Human Services, ACF/Division of Discretionary Grants, Sixth Floor, 370 L'Enfant Promenade SW, Washington, DC 20447, Attn: 93.631 ADD—Projects of National Significance.

Hand-delivered applications are accepted during the normal working hours of 8 a.m. to 4:30 p.m., Monday through Friday, on or prior to the established closing date at: Administration for Children and

Families, Division of Discretionary Grants, 6th Floor OFM/DDG, 901 D Street, SW, Washington, DC 20447.

**FOR FURTHER INFORMATION CONTACT:** Adele Gorelick, Program Development Division, Administration on Developmental Disabilities, (202) 690-5982.

#### SUPPLEMENTARY INFORMATION:

##### Part I. Introduction

###### *A. Goals of the Administration on Developmental Disabilities*

The Administration on Developmental Disabilities (ADD) is located within the Administration for Children and Families (ACF), Department of Health and Human Services (DHHS). Although different from the other ACF program administrations in the specific populations it serves, ADD shares a common set of goals that promote the economic and social well-being of families, children, individuals and communities. Through national leadership, ACF and ADD envision:

- Families and individuals empowered to increase their own economic independence and productivity;
- Strong, healthy, supportive communities having a positive impact on the quality of life and the development of children;
- Partnerships with individuals, front-line service providers, communities, States and Congress that enable solutions which transcend traditional agency boundaries;
- Services planned and integrated to improve client access; and
- A strong commitment to working with Native Americans, persons with developmental disabilities, refugees and migrants to address their needs, strengths and abilities.
- A community-based approach that recognizes and expands on the resources and benefits of diversity. Emphasis on these goals and progress toward them will help more individuals, including people with developmental disabilities, to live productive and independent lives integrated into their communities. The Projects of National Significance Program is one means through which ADD promotes the achievement of these goals.

###### *B. Purpose of the Administration on Developmental Disabilities*

The Administration on Developmental Disabilities (ADD) is the lead agency within ACF and DHHS responsible for planning and administering programs which promote

the self-sufficiency and protect the rights of persons with developmental disabilities.

The Developmental Disabilities Assistance and Bill of Rights Act (42 U.S.C. 6000, *et seq.*) (the Act) supports and provides assistance to States and public and private nonprofit agencies and organizations to assure that individuals with developmental disabilities and their families participate in the design of and have access to culturally competent services, supports, and other assistance and opportunities that promote independence, productivity and integration and inclusion into the community.

The Act points out that:

- Disability is a natural part of the human experience that does not diminish the right of individuals with developmental disabilities to enjoy the opportunity for independence, productivity and inclusion into the community;
- Individuals whose disabilities occur during their developmental period frequently have severe disabilities that are likely to continue indefinitely;
- Individuals with developmental disabilities often require lifelong specialized services and assistance, provided in a coordinated and culturally competent manner by many agencies, professionals, advocates, community representatives, and others to eliminate barriers and to meet the needs of such individuals and their families; The Act further finds that:
  - Individuals with developmental disabilities, including those with the most severe developmental disabilities, are capable of achieving independence, productivity, and integration and inclusion into the community, and often require the provision of services, supports and other assistance to achieve such;
  - Individuals with developmental disabilities have competencies, capabilities and personal goals that should be recognized, supported, and encouraged, and any assistance to such individuals should be provided in an individualized manner, consistent with the unique strengths, resources, priorities, concerns, abilities, and capabilities of the individual;
  - Individuals with developmental disabilities and their families are the primary decision makers regarding the services and supports such individuals and their families receive; and play decision making roles in policies and programs that affect the lives of such individuals and their families; and
  - It is in the nation's interest for people with developmental disabilities to be employed, and to live

conventional and independent lives as a part of families and communities.

- Toward these ends, ADD seeks to enhance the capabilities of families in assisting people with developmental disabilities to achieve their maximum potential to support the increasing ability of people with developmental disabilities to exercise greater choice and self-determination; to engage in leadership activities in their communities; as well as to ensure the protection of their legal and human rights.

Programs funded under the Act are:

- Federal assistance to State developmental disabilities councils;
- State system for the protection and advocacy of individual rights;
- Grants to University Affiliated Programs for interdisciplinary training, exemplary services, technical assistance, and information dissemination; and
- Grants for Projects of National Significance.

## Part II. Background Information

### A. Description of Projects of National Significance

Under Part E of the Act, grants and contracts are awarded for projects of national significance that support the development of national and State policy to enhance the independence, productivity, and integration and inclusion of individuals with developmental disabilities through:

- Data collection and analysis;
- Technical assistance to enhance the quality of State developmental disabilities councils, protection and advocacy systems, and university affiliated programs; and
- Other projects of sufficient size and scope that hold promise to expand or improve opportunities for people with developmental disabilities, including:
  - Technical assistance for the development of information and referral systems;
  - Educating policy makers;
  - Federal interagency initiatives;
  - The enhancement of participation of minority and ethnic groups in public and private sector initiatives in developmental disabilities;
  - Transition of youth with developmental disabilities from school to adult life; and
  - Special pilots and evaluation studies to explore the expansion of programs under part B (State developmental disabilities councils) to individuals with severe disabilities other than developmental disabilities.

### B. Comments on FY 1995 Proposed Priority Areas

The notice soliciting comments on the FY 1995 proposed priority areas was published in the **Federal Register** on January 11, 1995 (60 FR 2760). A 60-day period was required to allow the public to comment on the proposed areas. After review and analysis of these comments, ADD is publishing its final priorities in this announcement.

The public comment notice requested specific comments and suggestions on the proposed funding priorities, in addition to recommendations for additional priority areas which would assist in bringing about the increased independence, productivity, and integration into the community of people with developmental disabilities.

ADD received a total of 62 letters and 193 inquiries by the closing date in response to the public comment notice. Commentary was from the following sources:

- Advocacy agencies, which includes national organizations and associations, national advocacy groups and State/local advocacy groups;
- Service organizations, which includes agencies that provide services for individuals with developmental disabilities as well as providing advocacy services on behalf of a particular disability, including developmental disabilities councils;
- Educational systems, which includes schools, colleges, and universities, programs located within a university setting and University Affiliated Programs;
- Private agencies, which includes national, State, and local nonprofit organizations;
- Government agencies, which includes Federal, State, county, and local government agencies;
- Private individuals; and
- Foundations.

The comments ranged from requests for copies of the final application solicitation to general support to substantive, insightful responses for this year's proposed funding priorities and recommendations for other priority areas. The vast majority were supportive of and expanded upon what we proposed in the announcement, in addition to relating specifically to the program goals and priorities of the particular agencies submitting the comments.

The comments received were helpful in highlighting the concerns of the developmental disabilities field and have been used in refining the final priority areas.

*Comment:* Six letters were submitted to ADD recommending additional

funding priorities for FY 1995.

Suggestions included projects addressing the need for accessible and inclusive programs within the developmental disabilities network; the needs of aging persons with developmental disabilities and their families, especially those in rural areas; the need for research and training on Abusive Head Trauma, which includes Shaken Baby Syndrome; and transportation needs related to accessing jobs and services. There was a recommendation for priority areas for potential grantees to propose their own issues and for small, grassroots organizations to have the opportunity to develop their own solutions in their local communities.

*Response:* ADD continues to press for accessible and inclusive programs and project products. Through funding criteria, site visits, and monitoring of reports this principle is conveyed and its implementation evaluated.

ADD has funded projects related to aging in the past and continues to support projects and activities in this area through the University Affiliated Program. We share concerns that were expressed about the aging of individuals with developmental disabilities, which is reflected in our mission to promote the independence, productivity, integration, and inclusion of all people with developmental disabilities in their communities.

ADD will consult with the Administration on Aging and others to identify the need and opportunity for future focused efforts in this area.

We welcome the sharing of information with regard to medical conditions having implications for projects addressing abuse, violence, the need for early assessments and intervention, and family-centered approaches. The specifics regarding Abusive Head Trauma, Shaken Baby Syndrome, and Failure-to-Thrive will be included in appropriate priority areas.

ADD sees the element of transportation as a crucial factor in the success of any program. In stressing outcome-oriented approaches and ongoing mechanisms for evaluation and identification of barriers, ADD will include transportation concerns.

ADD is committed to inclusion and input from advocates and grassroots efforts. It has funded projects to strengthen families through national and grassroots strategies, partnerships in policymaking, and People First self-advocacy. Future priority areas will include opportunities for design options and local community initiatives.

ADD appreciates the suggestions for additional priority areas. With the

proposed fiscal year 1995 priority areas we have developed our most extensive array of project possibilities and will make concentrated efforts to support effective work in these areas. The suggestions have been considered significant and have been incorporated where appropriate.

*Comment:* ADD received 8 comments on Proposed Priority Area 1, Collaboration Between Youth Service Providers and Disabilities Advocates to Enhance Services to Youth With Developmental Disabilities. There was strong support for collaborative efforts, including memoranda of understanding and fiscal participation, and a recommendation to expand the scope of this priority area. Suggestions included language regarding information sharing and networking efforts that include all stakeholders, the identification of barriers, and the development of materials and strategies and the resources of technology and assistive devices.

One comment urged inclusion of the capability to address and correct the breakdown in the school-to-work transition process and another stressed the importance of completing school as imperative for employment.

A comment from one State was that there was only minuscule risk in that particular State of youth with developmental disabilities running away or becoming involved with delinquent behavior.

*Response:* ADD is committed to collaborative efforts whenever possible, with or without fiscal participation, and we feel the focus of this priority area is appropriate at this time. It builds on the Family and Youth Services Bureau efforts with respect to at-risk youth and expands to include ADD's concerns. Prevention of and response to these issues will in fact necessitate a holistic approach.

Both agencies regard employment as a major goal, which must be addressed much earlier in the school experience than has been done, as well as attention to the principles of the Americans with Disabilities Act. The comments on project criteria contributed an appreciated refinement of announcement language.

As for the numbers of youth at risk, ADD feels strongly that such youth with developmental disabilities are particularly vulnerable and inadequately served. It is therefore essential that we explore and devise models which hold more promise for these young people.

*Comment:* ADD received 14 comments on Proposed Priority Area 2, Americans With Developmental

Disabilities and the Criminal Justice System. The comments received in this priority area were supportive of what ADD proposed in the published notice. There was strong support for programs to institute ongoing training for law enforcement and court personnel and to address prevention strategies as well. Involving self-advocates was strongly urged as essential, with projects directed by self-advocates and conducted by and through organizations of self-advocates in collaboration with the developmental disabilities network. One comment noted that this area would not impact a large segment of the population of the writer's State.

It was also suggested that there be a component emphasizing the need for mental health services to children in the criminal justice system. Other comments recommended funding for the transition from incarceration to the community, the inclusion of legal and safety concerns during enforcement, training with respect to impaired judgment resulting from fetal alcohol syndrome, and a study of the factors contributing to delinquency.

*Response:* ADD is committed to supporting leadership and direction by self-advocates, whose experience and perspective will ensure effective projects, a major goal along with ongoing and replicable projects. The specific concerns regarding mental health and transition to the community will clearly be identified in a required analysis of barriers to effective programs and desirable outcomes. ADD hopes to address these components in future PNS projects.

Medical issues should be an element of any proposed project so that justice system personnel are aware of symptoms and of indications of abuse and violence as well as substance abuse. As for the suggested numbers of individuals who may be impacted by the issues of this priority area in a particular State, ADD reiterates its commitment to the vulnerable individuals with developmental disabilities and to the inadequately served among them.

*Comment:* ADD received 11 comments on Proposed Priority Area 3, First Jobs—Introducing Young Persons With/Without Developmental Disabilities to the World of Work and Community Service. There was strong support for moving from segregated work settings to supported employment programs and a comment urging that individuals with the most severe disabilities who have not benefitted from supported employment not be ignored and remain unserved. There was support for ADD's approach with

regard to its Americorps projects, which include individuals with and without disabilities, and for collaboration among nonprofit agencies, Head Start, Vocational Rehabilitation, the Job Training Partnership Act Program (JTPA), and other public resources. Meaningful vocational assessments and a focus on consumer choice and quality of life were stressed, as was the importance of planning and partnerships so that first jobs lead to second jobs and ultimate career paths. One commenter had concerns about the Jobs Opportunities and Basic Skills (JOBS) program and training for JOBS staff unaccustomed to working with individuals with developmental disabilities, about the necessary long-term investment, and about funding for modifications to automated systems.

Comments from individuals involved concerns regarding personal assistance services. There was also a suggestion that this priority area be combined with the priority area for youth at risk for running away who need access to supports and services which lead to independence. Another suggestion was that people with developmental disabilities receive training to be personal assistants.

*Response:* ADD is in agreement with the movement toward a cultural shift to recognition of abilities and choice and away from control of employment resources by providers of employment and vocational services. We feel the community as a whole benefits from inclusion of individuals with developmental disabilities in the workplace. The benefits of diversity are seen in supported employment, which includes the development of natural supports reflecting participation of all co-workers.

Collaborative linkages are also critical as we strive to expand access to earlier educational/vocational experiences for children and youth with disabilities. Maximum efforts should be made to assure that individuals with the most severe disabilities are afforded these essential opportunities. Consideration of assistive technology, transportation needs, and accommodations for personal assistance services are essential components.

While there is some overlap with the issues addressed in Priority Area 1, ADD intends to fund each of these areas with their particular foci and demonstrate its commitment to contributions to the community that individuals with developmental disabilities make. ADD would consider, however, funding projects which effectively address essential requirements of both areas.

*Comment:* ADD received 18 comments on Proposed Priority Area 4, Child Care and Early Intervention: Linkages for Successful Inclusion of Young Children With Disabilities. All were supportive and many offered recommendations for project design or additional components. There were suggestions for including effective advocacy strategies and protection of ADA rights, for addressing the needs of children with severe disabilities, for training on the condition of nonorganic failure to thrive as well as the sequelae of Shaken Baby Syndrome and Abusive Head Trauma, for prevention of secondary disabilities, and for broadening the priority to include life-span services and "seamless" interagency collaboration.

There were also recommendations for inclusion of training for staff in after-school programs, assistive technology, and systems conversion. Because of high staff turnover there is a need for ongoing program support, possibly through mentorship, and there is good opportunity for young adults with disabilities to work as educational aides.

There were requests that preference be given to projects addressing the needs of families with low income or living in poverty, migrant families, and homeless families, with a specific suggestion that the Early Prevention, Screening, Diagnosis and Treatment Program be utilized.

There were several comments urging attention to multicultural issues and the need for early intervention with respect to children with developmental disabilities at risk for delinquent behavior. Also suggested was establishment of a national task force to assist states and local communities in implementing policies and services and combining this priority area with Children at Risk: The Impact of Abuse and Violence on Children with Disabilities.

*Response:* ADD was pleased to see the point made that the experience of inclusion has benefits for children with and without disabilities. The community benefits of diversity are an ongoing focus of ADD. We are also committed to the development of tools and strategies for the implementation of the ADA for all children, with focused attention on those who have been unserved and inadequately served, such as individuals with severe disabilities, families with low income or living in poverty, migrant or homeless families, those living in rural areas, and immigrant and refugee families.

We appreciate the information and suggestions regarding failure to thrive, Shaken Baby Syndrome and Abusive

Head Trauma, and prevention concerns, which will be incorporated in appropriate priority areas, as well as attention to after-school personnel and the implementation of assistive technology. We have introduced the collaboration of individuals with and without disabilities in projects with the Family and Youth Services Bureau and our Americorps projects.

ADD will fund separate projects under the youth service providers and disabilities advocates and abuse and violence priority areas. As for a focus on multicultural issues, ADD includes this requirement in the design of all projects and will have a major funding priority area (Priority 5) addressing the development of models for technical assistance.

*Comment:* ADD received 15 comments on Proposed Priority Area 5. All but one agreed with the need for this proposed priority and many offered recommendations on the design and operation of projects, while others had concerns about sufficient funding and the need for ongoing projects in a multicultural network.

There was agreement that it is time for innovative approaches to identifying areas of need and developing action strategies to meet those needs. Advocacy groups hoped to be included when the various components are collaborating. Nationwide technical assistance within the developmental disabilities network was recommended to implement programs for training service coordinators from culturally diverse backgrounds to guide individuals with developmental disabilities and their families. It was suggested that coalition building and recruitment and retention efforts outside the network depend on the achievement of cultural competence within the network. The dissenting commenter felt that the Commissioner has already begun to build this network and these issues should not be in a separate priority area.

Another commenter felt that if the goal is to provide agency-integrated, comprehensive services to families, the multicultural theme should be a strong, clearly developed part of each project. Another suggestion with regard to this issue proposed a state project targeted for demonstrating model practices for further development of collaboration among the network components.

There was also commentary on including all ages, including young adults, middle aged, and older parents of aging individuals with developmental disabilities in multicultural communities, and on the need for training in self-advocacy and

empowerment to address effective actions for overcoming identified barriers.

*Response:* The issue of building a strong, effective multicultural network within the developmental disabilities system is a major concern of ADD. The Commissioner's Forum as well as the careful consideration of the discussions of the ADD Multicultural Committee and numerous other entities and individuals, including grassroots and larger advocacy groups, are reflections of the high priority of this area of proposed funding.

ADD continues to emphasize cultural competency and recognition of the value of cultural diversity to individuals, families, and the larger community. This will be a required element in the design of projects to be funded. The suggestions for inclusion of all ages will be added to inclusion of unserved and inadequately served individuals. In proposing to fund three State projects, ADD feels that models will be developed for utilizing the resources of appropriate organizations including Historically Black Colleges and Universities and that these intense efforts will provide replicable practices and strategies for focused efforts by others.

*Comment:* ADD received 12 comments on Priority Area 6, Accessing Telecommunication Services for Persons With Developmental Disabilities. They were supportive and one suggested that a requirement of funding be that grantees establish electronic communication with other recipients. The ideal outcome of projects in this area would be a clearinghouse system that is interactive, assistive, and empowering of individuals seeking services and information including, for example, location of accessible housing, availability of assistive technology, details of Social Security programs, medical developments, and best practices.

*Response:* ADD agrees that the fast-growing capabilities occurring in cyberspace are going to be factors in communications for previously unserved and inadequately served individuals. Working out how individuals access this technology is the challenge. ADD is funding one Training Initiative Project under its University Affiliated Program which is exploring this issue, and ADD does already link its grantees through teleconferences, Internet, meetings, and forums. We would like to see more consumers, families, and providers accessing and sharing information, calendars,

concerns, and strategies for removal of barriers.

We will consider funding this priority area in future years. All newly funded PNS initiatives are expected to develop the capacity to communicate and disseminate information and technical assistance through e-mail and other effective, affordable, and accessible forms of electronic communication.

*Comment:* ADD received 12 comments on Priority Area 7, Meeting the Mental Health Needs of Individuals With Developmental Disabilities. ADD received many commendations for including a priority area on the mental health aspects of mental retardation and other developmental disabilities issues. Comments cited lack of training in this area and the critical need for partnerships to stimulate interagency agreements and other needed projects. It was recommended that single points of entry be established and that services follow the individual into the community.

There was a suggestion that ADD consider as a funding requirement a letter of agreement between the State mental health system and the State developmental disabilities system. There were suggestions for projects aimed at improving both the community and social presence and social skills of persons with dual diagnoses and for involvement in arts and leisure programming. Training was urged for all network participants in such issues as inclusion, psychoactive medications, anger management, and legal aspects. There was also strong support for consumer outcome measures to evaluate program impact.

*Response:* ADD has long felt strongly that the mental health needs of persons with developmental disabilities do not receive adequate attention. ADD was at the forefront of promoting nonaversive approaches and has funded a Project of National Significance to develop training materials for mental health professionals to help bridge the gap between systems. A number of ADD-funded University Affiliated Programs and Developmental Disabilities Councils have projects in their local areas. Community inclusion requires understanding on the part of providers and network participants and individuals and families as well. There is also great need to raise the general standard of practice regarding psychoactive medications.

The next stage of addressing this issue will be broader implementation of strategies and best practices. Effective advocacy through recruitment and training will contribute toward appropriate systems change.

*Comment:* ADD received 15 comments on Priority Area 8, Children at Risk: The Impact of Abuse and Violence on Children With Disabilities, all of which were supportive of the overall approach. Many commenters noted the great need for this area to be addressed. Some commented that the issue involves both the abuse of children with disabilities and disabilities caused by abuse and neglect of children. Many stated that a comprehensive multi-system, multi-agency approach must be taken to adequately address the significant issue of prevention, intervention, and treatment of abuse and neglect of children with, and at risk of, disabilities. Many commenters noted the need for coordination among a wide variety of State and local agencies in abuse cases. Several recommendations specifically stressed the need for coordinated investigations, including the importance of sharing data among agencies when abuse or neglect of a child is alleged. One commenter reported that Child Advocacy Centers throughout the country are attempting to coordinate all of the investigating entities involved in child abuse cases.

One organization noted that non-organic failure-to-thrive typically results from neglect, abuse, and poor knowledge of care giving. Another commenter recommended the need for training of professionals and research on the incidence and prevalence of Abusive Head Trauma, including Shaken Baby Syndrome (SBS), which was reported as the leading cause of disability among abused children.

One commenter noted that provision of adequate child care can help to reduce the incidence of abuse and neglect and that child care workers are a good source of identifying children at risk of abuse and neglect. Another commenter stated that a "safety net" could be designed to identify and enroll families at risk of abusing their children. Such families would then be provided with education and training designed to increase their parenting skills and reduce the risk of abuse and neglect.

One commenter recommended funding a group of local projects in a given State to bring about a coordinated strategy from the "bottom up" rather than from a Statewide demonstration which then filters change down to the local level. Another organization stressed the need for information, education, and training of a variety of audiences, disciplines, and professions, including children and youth themselves. ADD was also urged to collaborate with appropriate agencies at the Federal level to address the abuse problem.

One commenter reported how well a comprehensive Statewide approach very similar to the one described by ADD in this priority area is working in one State to prevent child abuse of children with disabilities. The strategy being used involves a wide range of agencies including the State Departments of Education, Human Resources, Mental Health and Mental Retardation, as well as the State Developmental Disabilities Planning Council and Protection and Advocacy Agency, Children's Trust Fund, Corporate Foundation for Children, a major university, and several other agencies. Besides including these entities, another organization recommended also involving the State Child Care, Health and Criminal Justice systems as well as Head Start programs.

*Response:* ADD is pleased to see the very favorable response to this priority area and the comprehensive approach we selected. ADD has worked over the last year, in collaboration with other Federal agencies, to help focus national attention on the problem of abuse of children with disabilities and the fact that abuse often causes disabilities. We believe that a multi-system, multi-agency coordinated approach must be used at the local, State, and national level in order to adequately address this serious problem. In this announcement, ADD will stress the need for coordination and collaboration among all agencies involved in allegations of abuse as well as in prevention activities, including the need to share data among all agencies.

We appreciate the information regarding non-organic failure to thrive and Abusive Head Trauma, including Shaken Baby Syndrome, and will address these in this announcement. ADD agrees that appropriate child care may help reduce abuse and neglect, and we will address the need for inclusive child care in Priority Area 4. Moreover, we hope child care agencies will be involved as relevant agencies in any comprehensive State or local child abuse strategy. Concerning the recommendation that a "safety net" approach be used of enrolling and training parents at risk of abusing their children, ADD agrees that parent skill training can help reduce the risk of abuse and neglect, but we leave the individual elements of any strategy selected to the State or local community involved.

ADD believes that with limited funds it is best to demonstrate the comprehensive, coordinated strategy at a State level first, especially given the flow of Federal funds for the various agencies involved which usually go to

the State level first and then to local communities. However, if a State wishes to develop a grant application which is focused on developing a comprehensive multi-system, multi-agency statewide strategy and then proposes to test implementation of the strategy in a number of local communities before implementation statewide, we would be interested in considering funding for this approach. ADD urges any State applying for funds to include all the relevant agencies, systems, disciplines, and other pertinent entities in its proposed strategy and grant application.

In addition to this PNS priority area, ADD will continue its interagency and interdepartmental activities to prevent and reduce the incidence of abuse of children with disabilities and all other children who are abused, many of whom develop disabilities.

*Comment:* ADD received 9 comments on Proposed Priority Area 9, Technical Assistance Projects. The hope was expressed that ADD could continue to provide the catalyst to generate advocacy and support for individuals to protect their legal and human rights under the ADA, Section 504 of the Rehabilitation Act of 1973 as amended by the Rehabilitation Act amendments of 1992 (Pub.L. 102-569), and the Constitution. Efforts such as the Advocacy Training/Technical Assistance Center were reported to have provided valuable technical assistance to the protection and advocacy systems. One commenter proposed a national technical assistance project independent from the existing Protection and Advocacy System.

There was a recommendation that ADD direct its resources not only to improve each component of the ADD network (Protection and Advocacy Systems, University Affiliated Programs, and Developmental Disabilities Councils) but to realize the impact of cooperative and coordinated activities focused on common goals. Commenters urged ADD to include in any training the application of the 14 principles of quality improvement developed by W. Edwards Deming for private industry, which are seen as applicable to disability issues, as well as the nine principles delineated in Reinventing Government, which reinforce such goals as outcome orientation, responsiveness to consumers, empowerment, and teamwork.

There was encouragement to separate technical assistance from program monitoring and to allow program components to direct the technical assistance provided to them. Exploring different methods of utilizing stipends or vouchers for technical assistance

when needed from recognized experts was also suggested. There was also strong support for collaborative network efforts at the Federal level through memoranda of understanding and fiscal participation, which, along with deliverable products, will enable progress to go far beyond communication toward realization of supports and service benefits at the local level.

*Response:* The thoughtful commentary on this priority area is timely and appreciated. ADD will closely consider the input received and seek out additional consultations with the network and other stakeholders on this issue.

*Comment:* ADD received 27 general comments on the priority areas. They were vastly supportive of what had been proposed. Several comments were received that commended us for the way in which we approached this year's priorities through considerable consultation, discussion, and reflection and the inclusion of such issues as increasing interagency collaboration and outcome measurement methodology, consumer empowerment, system conversion, strategies for addressing abuse and violence, employment opportunities through community service, unserved and inadequately served individuals, and individuals with developmental disabilities in the criminal justice system.

There was strong support for giving highest priority to the areas of cultural diversity, consumer involvement, and technical assistance and for recognizing that collaboration and cooperation are not outcomes in themselves but means to successful programmatic results. Focusing on deliverable products, such as model memoranda of agreement, training curricula, procedural plans, or memoranda for joint funding, and on outcomes was seen as increasing the replicability of the proposed priorities.

ADD was urged to seek assurance that people with disabilities are included in implementation of funded projects through participation in advisory bodies and quality management and evaluation teams. ADD was also urged to promote culturally appropriate approaches with respect to information dissemination and recruitment of professionals and nonprofessionals.

In addition, there was strong support for ADD's continued funding of national data collection and analysis projects and a recommendation that data should reflect current best thinking of the developmental disabilities network about housing and individual supports, not facilities, and about jobs, not sheltered employment, and that

duplication of effort be avoided. One commenter wished to see increased government incentives, such as tax credits, for the promulgation of charitable donations of time, assets such as housing or equipment, and funds to advance the concerns of the Projects of National Significance and other efforts.

Two comments reflected regret over lack of continuation of projects in leadership initiatives and personal assistance services and another would like to have seen more latitude for choice of project design within priority areas. More focus was called for on the Americans with Disabilities Act (ADA) through a dynamic model of empowerment for ADA compliance at the grass roots level utilizing the significant Protection and Advocacy resource.

There were some questions about targeting specific priority areas to address concerns that should already be under development by Councils and about creating or enhancing specialized structures instead of providing appropriate supports from within generic service systems.

*Response:* The unusual depth and range of commentary on the proposed FY 1995 funding priorities reflects an impressive intensity and commitment. ADD expended considerable energy to develop these initiatives, utilizing the resources of its network and staff, and we have applied the same diligence in consideration of comments, suggestions, and recommendations. We believe the final priority areas reflect the input received from the public comment process and a sensitivity to the concerns expressed in each of the letters received. Clearly, not every issue raised can be addressed and incorporated.

When in the past we proposed only a few priority areas, it was thought by some that the full range of needs was ignored. Proposing several priority areas has been seen by some as attempting too much. The purpose of the ADD Projects of National Significance is to chart courses that others can follow. A component of all Projects of National Significance is the development and implementation of programs and approaches that will be ongoing beyond funding periods. We have been challenged by the call to reinvent government and charged by our constituencies to promote systems change for effective response to identified needs.

ADD hopes that the description of comments received and its responses will be viewed as a forum, for we have seen an unusual range of feedback which tells us and those who read this announcement what the best thinking is

by those who share our interests and concerns. In the course of responding to proposed ADD priority areas, numerous coalitions have been formed and/or strengthened. The 62 comment letters received by the close of the comment period, the 5 letters postmarked after that date, and the 193 telephone inquiries indicate a growing nationwide force. Though we cannot fund every proposal, we will not allow the intense efforts to consult and collaborate to dissipate if a project is not funded. ADD will seek ways to create linkages so that the energy in this repository can become an ever greater resource.

### **Part III. The Review Process**

#### **A. Eligible Applicants**

Before applications are reviewed, each will be screened to determine that the applicant is eligible for funding, as specified under the selected priority area. Applications from organizations which do not meet the eligibility requirements for the priority area will not be considered or reviewed in the competition, and the applicant will be so informed.

Only public or non-profit private entities, not individuals, are eligible to apply under any of the priority areas. On all applications developed jointly by more than one agency or organization, the applications must identify only one organization as the lead organization and official applicant. The other participating agencies and organizations can be included as co-participants, subgrantees or subcontractors.

Any nonprofit organization submitting an application must submit proof of its nonprofit status in its application at the time of submission. One means of accomplishing this is by the nonprofit agency providing a copy of the applicant's listing in the Internal Revenue Service's most recent list of tax-exempt organizations described in section 501(c)(3) of the IRS code or by providing a copy of the currently valid IRS tax exemption certificate, or by providing a copy of the articles of incorporation bearing the seal of the State in which the corporation or association is domiciled.

ADD cannot fund a nonprofit applicant without acceptable proof of its nonprofit status.

#### **B. Review Process and Funding Decisions**

Applications from eligible applicants that meet the deadline date requirements under Part V, Section C will be reviewed and scored competitively. Experts in the field, generally persons from outside of the

Federal government, will use the appropriate evaluation criteria listed later in this Part to review and score the applications. The results of this review are a primary factor in making funding decisions.

ADD reserves the option of discussing applications with, or referring them to, other Federal or non-Federal funding sources when this is determined to be in the best interest of the Federal government or the applicant. It may also solicit comments from ADD Regional Office staff, other Federal agencies, interested foundations, national organizations, specialists, experts, States and the general public. These comments, along with those of the expert reviewers, will be considered by ADD in making funding decisions.

In making decisions on awards, ADD may give preference to applications which focus on or feature: Culturally diverse minority or ethnic populations; a substantially innovative strategy with the potential to improve theory or practice in the field of human services; a model practice or set of procedures that holds the potential for replication by organizations involved in the administration or delivery of human services; substantial involvement of volunteers; substantial involvement (either financial or programmatic) of the private sector; a favorable balance between Federal and non-Federal funds available for the proposed project; the potential for high benefit for low Federal investment; a programmatic focus on those most in need; and/or substantial involvement in the proposed project by national or community foundations. This year, 5 points will be awarded in scoring for any project that includes partnership and collaboration with the 112 Empowerment Zones/Enterprise Communities.

To the greatest extent possible, efforts will be made to ensure that funding decisions reflect an equitable distribution of assistance among the States and geographical regions of the country, rural and urban areas, and ethnic populations. In making these decisions, ADD may also take into account the need to avoid unnecessary duplication of effort.

#### **C. Evaluation Criteria**

Using the evaluation criteria below, a panel of at least three reviewers (primarily experts from outside the Federal government) will review the applications. Applicants should ensure that they address each minimum requirement in the priority area description under the appropriate section of the Program Narrative Statement.

Reviewers will determine the strengths and weaknesses of each proposal in terms of the evaluation criteria, provide comments, and assign numerical scores. The point value following each criterion heading indicates the maximum numerical weight that each section may be given in the review process.

#### **1. Objectives and Need for Assistance (20 Points)**

The extent to which the application pinpoints any relevant physical, economic, social, financial, institutional or other problems requiring a solution; demonstrates the need for the assistance; states the principal and subordinate objectives of the project; provides supporting documentation or other testimonies from concerned interests other than the applicant; and includes and/or footnotes relevant data based on the results of planning studies. The application must identify the precise location of the project and area to be served by the proposed project. Maps and other graphic aids should be attached.

#### **2. Results or Benefits Expected (20 Points)**

The extent to which the application identifies the results and benefits to be derived, the extent to which they are consistent with the objectives of the proposal, and the extent to which the application indicates the anticipated contributions to policy, practice, theory and/or research. The extent to which the proposed project costs are reasonable in view of the expected results.

#### **3. Approach (35 Points)**

The extent to which the application outlines a sound and workable plan of action pertaining to the scope of the project, and details how the proposed work will be accomplished; cites factors which might accelerate or decelerate the work, giving acceptable reasons for taking this approach as opposed to others; describes and supports any unusual features of the project, such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvements; and provides for projections of the accomplishments to be achieved. Activities to be carried out should be listed in chronological order, showing a reasonable schedule of accomplishments and target dates.

The extent to which, when applicable, the application identifies the kinds of data to be collected and maintained, and discusses the criteria to be used to evaluate the results and successes of the project. The extent to which the



application describes the evaluation methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified are being achieved. The application also lists each organization, agency, consultant, or other key individuals or groups who will work on the project, along with a description of the activities and nature of their effort or contribution.

#### 4. Staff Background and Organization's Experience (25 Points)

The application identifies the background of the project director/principal investigator and key project staff (including name, address, training, educational background and other qualifying experience) and the experience of the organization to demonstrate the applicant's ability to effectively and efficiently administer this project. The application describes the relationship between this project and other work planned, anticipated or under way by the applicant which is being supported by Federal assistance.

#### D. Structure of Priority Area Descriptions

Each priority area description is composed of the following sections:

- **Eligible Applicants:** This section specifies the type of organization which is eligible to apply under the particular priority area.

- **Purpose:** This section presents the basic focus and/or broad goal(s) of the priority area.

- **Background Information:** This section briefly discusses the legislative background as well as the current state-of-the-art and/or current state-of-practice that supports the need for the particular priority area activity. Relevant information on projects previously funded by ACF and/or other State models are noted, where applicable.

- **Minimum Requirements for Project Design:** This section presents the basic set of issues that must be addressed in the application. Typically, they relate to project design, evaluation, and community involvement. This section also asks for specific information on the proposed project. Inclusion and discussion of these items is important since they will be used by the reviewers in evaluating the applications against the evaluation criteria. Project products, continuation of the project effort after the Federal support ceases, and dissemination/utilization activities, if appropriate, are also addressed.

- **Project Duration:** This section specifies the maximum allowable length of time for the project period; it refers

to the amount of time for which Federal funding is available.

- **Federal Share of Project Costs:** This section specifies the maximum amount of Federal support for the project.

- **Matching Requirement:** This section specifies the minimum non-Federal contribution, either through cash or in-kind match, that is required to the maximum Federal funds requested for the project.

- **Anticipated Number of Projects To Be Funded:** This section specifies the number of projects that ADD anticipates it will fund in the priority area.

- **CFDA:** This section identifies the Catalog of Federal Domestic Assistance (CFDA) number and title of the program under which applications in this priority area will be funded. This information is needed to complete item 10 on the SF 424.

Please note that applications that do not comply with the specific priority area requirements in the section on "Eligible Applicants" will not be reviewed.

Applicants must clearly identify the specific priority area under which they wish to have their applications considered, and tailor their applications accordingly. In addition, previous experience has shown that an application which is broader and more general in concept than outlined in the priority area description is less likely to score as well as one which is more clearly focused on and directly responsive to the concerns of that specific priority area.

#### E. Available Funds

ADD intends to award new grants resulting from this announcement during the fourth quarter of fiscal year 1995, subject to the availability of funding. The size of the actual awards will vary. Each priority area description includes information on the maximum Federal share of the project costs and the anticipated number of projects to be funded.

The term "budget period" refers to the interval of time (usually 12 months) into which a multi-year period of assistance (project period) is divided for budgetary and funding purposes. The term "project period" refers to the total time a project is approved for support, including any extensions.

Where appropriate, applicants may propose project periods which are shorter than the maximums specified in the various priority areas. Non-Federal share contributions may exceed the minimums specified in the various priority areas when the applicant is able to do so.

For multi-year projects, continued Federal funding beyond the first budget period, but within the approved project period, is subject to the availability of funds, satisfactory progress of the grantee and a determination that continued funding would be in the best interest of the Government.

#### F. Grantee Share of Project Costs

Grantees must provide at least 25 percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a project requesting \$100,000 in Federal funds (based on an award of \$100,000 per budget period) must include a match of at least \$33,333 (25% total project cost).

An exception to the grantee cost-sharing requirement relates to applications originating from American Samoa, Guam, the Virgin Islands, and the Commonwealth of the Northern Mariana Islands. Applications from these areas are covered under section 501(d) of Pub. L. 95-134, which requires that the Department waive "any requirement for local matching funds for grants under \$200,000."

The applicant contribution must generally be secured from non-Federal sources. Except as provided by Federal statute, a cost-sharing or matching requirement may not be met by costs borne by another Federal grant. However, funds from some Federal programs benefitting Tribes and Native American organizations have been used to provide valid sources of matching funds. If this is the case for a Tribe or Native American organization submitting an application to ADD, that organization should identify the programs which will be providing the funds for the match in its application. If the application successfully competes for PNS grant funds, ADD will determine whether there is statutory authority for this use of the funds. The Administration for Native Americans and the DHHS Office of General Counsel will assist ADD in making this determination.

#### G. Cooperation in Evaluation Efforts

Grantees funded by ADD may be requested to cooperate in evaluation efforts funded by ADD. The purpose of these evaluation activities is to learn from the combined experience of multiple projects funded under a particular priority area.



### *H. Closed Captioning for Audiovisual Efforts*

Applicants are encouraged to include "closed captioning" in the development of any audiovisual products.

### **Part IV. Fiscal Year 1995 Priority Areas for Projects of National Significance**

The following section presents the final priority areas for Fiscal Year 1995 Projects of National Significance (PNS) and solicits the appropriate applications.

#### *Fiscal Year 1995 Priority Area 1: ADD andACYF, Family and Youth Services Bureau Collaboration Between Youth Service Providers and Disabilities Advocates to Enhance Services to Youth With Developmental Disabilities*

- **Eligible Applicants:** Basic Center Programs for Runaway and Homeless Youth (RHY), Transitional Living Programs for RHY, Drug Abuse and Prevention Programs for RHY, and Youth Gang Drug Prevention Programs currently funded by the Family and Youth Services Bureau and University Affiliated Programs, State Developmental Disabilities Councils, and Protection and Advocacy Programs currently funded by the Administration on Developmental Disabilities.

- **Purpose:** Under this priority area, the Administration on Developmental Disabilities (ADD) and the Family and Youth Services Bureau (FYSB) of the Administration on Children, Youth and Families (ACYF) will jointly award demonstration grant funds to foster collaboration between its grantee programs. The purpose of these grants will be to provide improved access to services and supports for youth with developmental disabilities who are at risk of running away or becoming involved in gang activities or delinquent behavior. Both ADD and FYSB are interested in applications that will support a youth development approach to serving young people. The FYSB encourages local youth service agencies to offer a holistic service approach that acknowledges young people's strengths and contributions while responding to their needs. ADD advocates for services that enable young people with developmental disabilities to live independently through employment. This goal is achieved by drawing on both the support of the community and the youth's own resources. Employment is an important outcome for all youth with developmental disabilities.

These projects, to be conducted jointly by ADD and FYSB funded grantees, would strengthen the ability of at-risk youth with developmental

disabilities (12–21 years of age) to achieve their full potential and grow to be successful, independent adults. Specifically, ADD and FYSB are seeking applications that explore methods for assisting their respective grantees to ensure access to appropriate services and supports by youth with developmental disabilities who participate in their programs.

- **Background Information:** Youth with developmental disabilities face enormous odds. Too often, as with all people with developmental disabilities, they lack the basics of American life: A good education, a job, and a real home. Tagged with diagnostic labels and segregated and discriminated against, many lack the information, assistance, and support they need to make informed choices. Their abilities are not recognized; and their differences set them apart, even from family members who love them but cannot afford or manage their special needs. Situations such as these increase the odds that youth with developmental disabilities will join the ranks of other runaway and homeless youth and youth involved in gangs or negative behaviors, thereby increasing their vulnerability.

To address these needs, FYSB and ADD established a three-year Memorandum of Understanding (MOU) to enhance coordination between the two agencies with the goal of increasing access to generic and specialized services for youth with developmental disabilities.

The FYSB administers the Runaway and Homeless Youth Program, the Transitional Living Program for Homeless Youth, the Drug Abuse Prevention Program for Runaway and Homeless Youth, and the Youth Gang Drug Prevention Program. These programs were created in response to widespread concern about the alarming number of runaway and homeless youth and youth at-risk of gang involvement. Today, an estimated 500,000 to 1.5 million youth run away from, or are forced out of their homes, and an estimated 200,000 are homeless. While there are no reliable estimates of youth at-risk of becoming involved or involved in gangs, all States have reported the rise of youth gangs and their illegal activities.

ADD grantees are involved in a variety of State and local efforts which specifically address this population. For example, addressing the transition of youth from school to the workplace is a priority for virtually all State Developmental Disabilities Councils. The Protection and Advocacy agencies advocate for the inclusion of youth with disabilities in regular classrooms and

other community activities. In addition, University Affiliated Programs have as one of their mandated activities the provision of training and technical assistance to community agencies serving individuals with developmental disabilities, including youth.

FYSB and ADD are accepting applications developed jointly by at least one ADD and one FYSB funded grantee to demonstrate the need for and effectiveness of collaborations between the FYSB and ADD grantee programs to enable at-risk youth with developmental disabilities to make a successful transition from adolescence to adulthood.

Agencies interested in submitting applications under this priority area should contact FYSB at (202) 205–8060 or ADD at (202) 690–6897 for information regarding their respective programs and existing grantees.

- **Minimum Requirements for Project Design:** These projects must be conducted collaboratively between at least one ADD and one FYSB-funded grantee. Both collaborating agencies must be located in the same or neighboring communities to facilitate collaboration. Collaborations should be functional; letters of agreement are not enough. Each collaborating agency should be actively involved and should provide an essential component of service to the program.

Applications should be culturally sensitive, family based, and community focused. The population to be served by the projects should include both youth who are and who are not at-risk of running away from home or becoming involved in gang activity or delinquent behavior. In addition, both youth who have and who do not have a developmental disability should be included in the target population.

ADD and FYSB are particularly interested in supporting projects which plan to undertake the following activities:

- Improve coordination of services through increased networking and information sharing among Federal, State, and local organizations involved in providing services. These efforts should include all stakeholders, with at-risk youth and their families at the center of the collaborative partnerships.
- Identify existing programs that are providing effective services to at-risk youth with developmental disabilities.
- Enhance service delivery through the identification of the risks, issues, problems and needs of at-risk youth with developmental disabilities.
- Enhance service delivery through the identification of the existing barriers to full collaborative partnerships

designed to advance the independence, individual choice, and empowerment of at-risk youth with disabilities and their families and break the dependence these youth may ultimately have on the service delivery system.

- Improve access to supports and services through the identification and development of collaborative and comprehensive systems of support including training materials and strategies for technical assistance in state-of-the-art services and supports which promote the independence of at-risk youth with disabilities. The activities of these projects may include a technology component for youth for whom assistive devices become the key to independence.

As a general guide, we will expect to fund only those applications for projects that are

- Family focussed.
- Community based.
- Culturally competent.
- In compliance with the Americans with Disabilities Act and section 504 of the Rehabilitation Act of 1973 as amended by the Rehabilitation Act amendments of 1992 (Pub. L. 102-569).

- *Project Duration:* This announcement is soliciting applications for project periods up to three years under this priority area. Awards, on a competitive basis, will be for a one-year budget period, although project periods may be for three years. Applications for continuation grants funded under this priority area beyond the one-year budget period, but within the three-year project period, will be entertained in subsequent years on a non-competitive basis, subject to the availability of funds, satisfactory progress of the grantee and determination that continued funding would be in the best interest of the Government.

- *Federal Share of Project Costs:* The maximum Federal share is not to exceed \$150,000 for the first 12-month budget period or a maximum of \$450,000 for a three-year project period.

- *Matching Requirement:* Grantees must provide at least 25 percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a project requesting \$150,000 in Federal funds (based on an award of \$150,000 per budget period) must include a match of at least \$50,000 (25% total project cost).

- *Anticipated Number of Projects to be Funded:* It is anticipated that up to three (3) projects will be funded.

- *CFDA:* ADD's CFDA (Code of Federal Domestic Assistance) number is 93.631—Developmental Disabilities—Projects of National Significance. FY95's CFDA numbers are 93.623, Runaway and Homeless Youth Program, 93.550, Transitional Living Program, and 93.660, Youth Gang Drug Prevention Program.

*Fiscal Year 1995 Priority Area 2: Americans With Developmental Disabilities and the Criminal Justice System*

- *Eligible Applicants:* Self-advocacy groups, independent living centers, private nonprofit organizations, or agencies.

- *Purpose:* Under this priority area, ADD will award demonstration grant funds for projects addressing the consequences of becoming involved in the criminal justice system by individuals with developmental disabilities. The Americans with Disabilities Act requires police to take steps, including training when necessary, to avoid discriminatory treatment on the basis of disability. States and localities require direction and assistance to carry out these provisions.

- *Background Information:* Both as victims and those accused and convicted of committing crimes, individuals with developmental disabilities (especially mental retardation) are becoming increasingly involved in the criminal justice system. Moreover, these individuals often face unequal justice at the hands of police and the courts precisely because the current system is not educated or prepared to respond or adapt to their disabilities and self-advocates have not been considered as essential elements of the educational process.

Advocates, scholars, and others argue that people who have been very carefully taught all their lives to trust and please authority figures sometimes confess to crimes they have not and could not have committed. Police, prosecutors, and the public need to learn about the raw vulnerability of many of these citizens.

Much more focused effort must be placed on identifying and replicating best and promising practices in this area. This is especially true if the critical concept of community policing is going to be applied to individuals with disabilities in a fair and effective manner throughout our Nation.

Greater emphasis, therefore, must be placed on providing current police and

new recruits with the training and technical assistance needed to afford people with disabilities who are victims or alleged perpetrators of crime with equal justice under the law.

The input and participation of people with developmental and other disabilities is crucial for familiarizing police and others with the unique range of needs and abilities of such individuals.

Additional training is needed to better prepare individuals with disabilities to avoid conduct that might place them at risk of becoming victims or accused perpetrators of criminal activities and to negotiate in the criminal justice system should they become involved with it. An understanding of Miranda rights and responses is crucial.

ADD is particularly interested in receiving applications from national, State, and local self-advocacy networks, with the capacity to work collaboratively with the developmental disabilities network, service providers, law enforcement officials, criminal justice agencies, the civil rights community, and others, who would be able to spearhead such efforts.

- *Minimum Requirements for Project Design:* ADD is particularly interested in supporting projects which include the following:

- Initiation and coordination by a self-advocacy network working collaboratively with the developmental disabilities network, disability groups, Mentally Retarded Defendants Programs, and those agencies included in the criminal justice system.

- A survey and list of programs, materials, curricula that have been developed and implemented, including relevant legal statutes.

- The implementation of an ongoing procedure for soliciting discussion, exploring experiences and perceptions, and strategizing steps for prevention, for dealing with sexual harassment, and for navigating through legal procedures, which may include focus groups, interviews following incarceration, and video presentations with a view toward receiving input and direction from individuals with developmental disabilities.

- The development of self-produced materials in such media as dramatic presentations, artwork, or music to convey issues regarding prevention of involvement and negotiating involvement with the criminal justice system.

- The development or adaptation of model programs at the local level, including coverage of sexual harassment, for implementation with individuals with developmental

disabilities, family members, service providers, police, court personnel, health and rehabilitation liaison, and others involved with the criminal justice system. Materials should be developed in easy-to-understand language.

- The development of strategies for establishing a pre-trial intervention program providing counseling, education, and family support.

As a general guide, ADD will expect to fund only those applications for projects that incorporate the following elements:

- Consumer/self-advocate orientation and participation.

- Key project personnel with direct life, parental, or familial experience with living with a disability.

- Strong advisory components that consist of 51% individuals with disabilities and a structure where individuals with disabilities make real decisions that determine the outcome of the grant.

- Research reflecting the principles of participatory action.

- Cultural competency.

- A description of how individuals with disabilities and their families will be involved in all aspects of the design, implementation, and evaluation of the project.

- Attention to unserved and inadequately served individuals, having a range of disabilities from mild to severe, from multicultural backgrounds, rural and inner-city areas, and migrant, homeless, and refugee families.

- Compliance with the Americans with Disabilities Act and Section 504 of the Rehabilitation Act of 1973 as amended by the Rehabilitation Act amendments of 1992 (Pub. L. 102-569).

- Collaboration through partnerships and coalitions.

- Development of the capacity to communicate and disseminate information and technical assistance through e-mail and other effective, affordable, and accessible forms of electronic communication.

- A community-based approach.

- Responsiveness through systems change.

- Identification of barriers and strategies for overcoming barriers.

- Outcome orientation.

- Measurement and ongoing evaluation, including the participation of individuals with disabilities in formulation and implementation.

- Development and establishment of practices and programs beyond project period.

- Dissemination of models, products, best practices, and strategies for distribution between the networks and

beyond. A plan describing initial activities is needed between funded projects as well as at the end of the project period. These activities should maintain and share ongoing information, existing resources of consultants/experts, and curriculum/materials with funded projects and within the network.

- *Project Duration:* This announcement is soliciting applications for a three-year project period under this priority area. Awards, on a competitive basis, will be for a one-year budget period, although project periods may be for three years. Applications for continuation grants funded under this priority area beyond the one-year budget period, but within the three-year project period, will be entertained in subsequent years on a non-competitive basis, subject to the availability of funds, satisfactory progress of the grantee, and determination that continued funding would be in the best interest of the Government.

- *Federal Share of Project Costs:* The maximum Federal share is not to exceed \$70,000 for the first 12-month budget period or a maximum of \$210,000 for a three-year project period.

- *Matching Requirement:* Grantees must provide at least 25 percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a project requesting \$70,000 in Federal funds (based on an award of \$70,000 per budget period) must include a match of at least \$23,333 (25% total project cost).

- *Anticipated Number of Projects to be Funded:* It is anticipated that up to two (2) projects will be funded. Subject to availability of additional resources in FY 1996 and the number of acceptable applications received as a result of this program announcement, the ADD Commissioner may elect to select recipients for the FY 1996 cohort of programs out of the pool of applications submitted for FY 1995 funds.

- *CFDA:* ADD's CFDA (Code of Federal Domestic Assistance) number is 93.631—Developmental Disabilities—Projects of National Significance. This information is needed to complete item 10 on the SF 424.

*Fiscal Year 1995 Priority Area 3: First Jobs—Introducing Persons With/Without Developmental Disabilities to the World of Work and Community Service*

- *Eligible Applicants:* State agencies, independent living centers, public or private nonprofit organizations, the AmeriCorps program of the Corporation for National and Community Service, institutions or agencies.

- *Purpose:* Under this priority area, ADD will award model research and demonstration funds on introducing young people to the world of work and community service. The initiative intends to target young people with/without developmental disabilities and other significant disabilities from culturally diverse backgrounds to enable them to gain first time job or community service experience that will lead to second jobs and ultimate career paths. We are particularly interested in applications that explore job opportunities for young adults (15–25 years of age).

These projects should encourage the inclusion of matches with individuals with developmental disabilities and those without developmental disabilities in job settings which would lead to a stronger workplace and community for the future.

- *Background Information:*

Nationally, the employment outlook for young Americans with developmental disabilities is bleak. Progress is being made supporting people with significant disabilities in real jobs, but the following facts speak for themselves:

1. Only about 10 percent of students with developmental disabilities graduating from school go on to competitive or supported employment.

2. In 1990, only about half of people with developmental disabilities surveyed indicated they had any choice in what job they held.

3. Last, 90 cents of every Federal dollar and 80 cents of every State dollar spent on providing services to people with developmental disabilities during the day is spent on keeping individuals in segregated, non-productive settings.

The cultural change that needs to occur is a redirection of the efforts of service providers and a shifting of focus onto the abilities and skills of individuals with disabilities. First-time job support can result from partnerships with young people without disabilities. This emphasis on inclusion provides mutual benefit as young people in their first community service or employment experiences benefit from the resources of diversity.

- *Minimum Requirements for Project Design:* The projects must address

strategies for first jobs that will lead to second jobs and ultimate career paths. Research should include assessments of current practices and of necessary supports, such as transportation, adaptive technology, and personal assistance services.

Collaborative linkages among service/support providers should be explored as well as matches with individuals with developmental disabilities and those without developmental disabilities in job settings. Strategies for success should include and stress consumer choice and empowerment as essential approaches in the development and implementation of projects that will be culturally competent, ongoing, and have measurable outcomes.

The strategy should include the following components:

- The identification of the barriers encountered in putting young people to work and strategies found effective in doing so.
- The development of model memoranda of understanding among schools, businesses, and agencies at the local level as called for in the School-to-Work Opportunities Act of 1994.
- The development of policy recommendations on transitions from school-to-work.
- The development of recommendations on needed technical assistance at local and State levels.
- The development of recommendations on what roles Developmental Disabilities Councils, University Affiliated Programs, and Protection and Advocacy systems can play in increasing school-to-work opportunities.
- The evaluation of whether job sharing among young people with and without disabilities is an effective strategy for increasing the employment opportunities for both groups.

As a general guide, ADD will expect to fund only those applications for projects that incorporate the following elements:

- Consumer/self-advocate orientation and participation.
- Key project personnel with direct life, parental, or familial experience with living with a disability.
- Strong advisory components that consist of 51% individuals with disabilities and a structure where individuals with disabilities make real decisions that determine the outcome of the grant.
- Research reflecting the principles of participatory action.
- Cultural competency.
- A description of how individuals with disabilities and their families will be involved in all aspects of the design,

implementation, and evaluation of the project.

- Attention to unserved and inadequately served individuals, having a range of disabilities from mild to severe, from multicultural backgrounds, rural and inner-city areas, and migrant, homeless, and refugee families.

- Compliance with the Americans with Disabilities Act and Section 504 of the Rehabilitation Act of 1973 as amended by the Rehabilitation Act amendments of 1992 (Pub. L. 102-569).

- Collaboration through partnerships and coalitions.

- Development of the capacity to communicate and disseminate information and technical assistance through e-mail and other effective, affordable, and accessible forms of electronic communication.

- A community-based approach.
- Responsiveness through systems change.

- Identification of barriers and strategies for overcoming barriers.

- Outcome orientation.

- Measurement and ongoing evaluation, including the participation of individuals with disabilities in formulation and implementation.

- Development and establishment of practices and programs beyond project period.

- Dissemination of models, products, best practices, and strategies for distribution between the networks and beyond. A plan describing initial activities is needed between funded projects as well as at the end of the project period. These activities should maintain and share ongoing information, existing resources of consultants/experts, and curriculum/materials with funded projects and within the network.

- *Project Duration:* This announcement is soliciting applications for project periods up to three years under this priority area. Awards, on a competitive basis, will be for a one-year budget period, although project periods may be for three years. Applications for continuation grants funded under this priority area beyond the one-year budget period, but within the three-year project period, will be entertained in subsequent years on a non-competitive basis, subject to the availability of funds, satisfactory progress of the grantee and determination that continued funding would be in the best interest of the Government.

- *Federal Share of Project Costs:* The maximum Federal share is not to exceed \$100,000 for the first 12-month budget period or a maximum of \$300,000 for a three-year project period.

- *Matching Requirement:* Grantees must provide at least 25 percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a project requesting \$100,000 in Federal funds (based on an award of \$100,000 per budget period) must include a match of at least \$33,333 (25% total project cost).

- *Anticipated Number of Projects to be Funded:* It is anticipated that up to two (2) projects will be funded. Subject to availability of additional resources in FY 1996 and the number of acceptable applications received as a result of this program announcement, the ADD Commissioner may elect to select recipients for the FY 1996 cohort of programs out of the pool of applications submitted for FY 1995 funds.

- *CFDA:* ADD's CFDA (Code of Federal Domestic Assistance) number is 93.631—Developmental Disabilities—Projects of National Significance. This information is needed to complete item 10 on the SF 424.

*Fiscal Year 1995 Priority Area 4: Child Care and Early Intervention: Linkages for Successful Inclusion of Young Children with Disabilities*

- *Eligible Applicants:* State agencies, public and private nonprofit organizations, institutions or agencies.

- *Purpose:* ADD will award demonstration grant funds for projects which will increase the capacity of child care and development programs to meet the needs of young children with disabilities. Child care services need to be included among the essential partner agencies in the provision of early, continuous, intensive, and comprehensive child development and family support services to children with disabilities and their families. The primary goals of projects would be increasing access to quality child care services for children with disabilities birth through age 5 and increasing the delivery of early intervention and related services to children in natural and inclusive environments.

- *Background Information:* Although inclusion of children with disabilities within child care is not a new occurrence, few formal mechanisms support effective coordination between the child care and disability communities. These systems remain separate and apart even as they are called upon to provide services to the same children and families. Families of

young children with disabilities continue to rank child care among the highest of their unmet needs. Furthermore, early findings of the Part H Early Intervention Program for infants and toddlers show no significant number of young children receiving these services within child care or other natural environments outside the home.

Access to quality child care services for children with disabilities was significantly strengthened and is protected by the passage of the Americans with Disabilities Act (ADA) in July 1992. The ADA explicitly prohibits discrimination of children with disabilities in public and private child care settings. The ADA opens many doors and provides the legal protections to assure access to children with disabilities, but this prohibition of discrimination, in and of itself, is limited in its ability to increase the capacity of child care programs to successfully include children with disabilities. Even when providers understand their obligations under the ADA, they continue to need ongoing access to training, technical assistance, mentorship, and consultation to implement meaningful and inclusionary policies and programs.

Furthermore, the linkages between childhood disability and poverty have long gone unnoticed and unaddressed. Nearly 8 percent of children on AFDC have disabilities. Without intervention and support, children in poverty are also at risk for disability. Often overlooked by the child care system are children from homeless shelters. There are indications that many of these children exhibit higher levels of developmental problems. There is also a need for training in the implications of fetal alcohol syndrome, failure to thrive, lead poisoning, abusive head trauma, shaken baby syndrome, pediatric AIDS, and learning delay related to hearing loss from viral infection and ingestion.

• *Minimum Requirements for Project Design:* ADD is particularly interested in local and Statewide projects that promote a seamless interagency approach to better serve children with disabilities, especially those children with disabilities who live in poverty. To develop child care services which are responsive to the needs of young children with disabilities and their families, the protections of the ADA must be joined with best practices in the field of early childhood education, early intervention, and family support services.

The following are types of activities projects may wish to engage in:

- Develop and implement a training program to meet the needs of the child

care community, providers, and parents of children with disabilities regarding the ADA and its protections and obligations.

- Identify and demonstrate strategies and mechanisms which support and expand training opportunities across systems. Strategies should illustrate how resources and expertise can be shared, as well as establishing opportunities for technical assistance and ongoing mentorship including mentorship by parents of children with disabilities, parents with disabilities, and other individuals with disabilities.

• Develop formal and informal linkages to increase the knowledge, awareness, and access to resources and services among families, child care providers, early childhood educators, disability service providers, and others who work with children with disabilities and their families.

- Identify and document replicable programs and projects which promote supported inclusion, that is, service coordination for individualizing inclusion of children with disabilities into generic child care programs.

• Produce cost effective models to combine sources of funds or other strategies that will facilitate parents accessing child care settings of their choice.

Projects may expand their focus to children older than 5 if the primary focus is on children birth to 5. Projects may address the needs of siblings of children with disabilities as a family support if the primary focus is on children with disabilities from birth to 5.

ADD is interested in funding projects reflecting these values in culturally competent, inclusive, family-centered and measurably outcome-oriented approaches that can establish ongoing relationships.

In addition, ADD is interested in joint efforts of projects such as the Americorps program of the Corporation for National and Community Service and the Job Opportunities Basic Skills (JOBS) program, whereby young people with disabilities may participate in jobs and community service as personal assistants and inclusion aides.

As a general guide, ADD will expect to fund only those applications for projects that incorporate the following elements:

- Consumer/self-advocate orientation and participation.
- Key project personnel with direct life, parental, or familial experience with living with a disability.
- Strong advisory components that consist of 51% individuals with disabilities and a structure where

individuals with disabilities make real decisions that determine the outcome of the grant.

- Research reflecting the principles of participatory action.

• Development of the capacity to communicate and disseminate information and technical assistance through e-mail and other effective, affordable, and accessible forms of electronic communication.

- Cultural competency.
- A description of how individuals with disabilities and their families will be involved in all aspects of the design, implementation, and evaluation of the project.

• Attention to unserved and inadequately served individuals, having a range of disabilities from mild to severe, from multicultural backgrounds, rural and inner-city areas, and migrant, homeless, and refugee families.

- Compliance with the Americans with Disabilities Act and section 504 of the Rehabilitation Act of 1973 as amended by the Rehabilitation Act amendments of 1992 (Pub.L. 102-569).

• Collaboration through partnerships and coalitions.

- A community-based approach.
- Responsiveness through systems change.

• Identification of barriers and strategies for overcoming barriers.

- Outcome orientation.
- Measurement and ongoing evaluation, including the participation of individuals with disabilities in formulation and implementation.

• Development and establishment of practices and programs beyond project period.

• Dissemination of models, products, best practices, and strategies for distribution between the networks and beyond. A plan describing initial activities is needed between funded projects as well as at the end of the project period. These activities should maintain and share ongoing information, existing resources of consultants/experts, and curriculum/materials with funded projects and within the network.

• *Project Duration:* This announcement is soliciting applications for project periods up to three years under this priority area. Awards, on a competitive basis, will be for a one-year budget period, although project periods may be for three years. Applications for continuation grants funded under this priority area beyond the one-year budget period, but within the three-year project period, will be entertained in subsequent years on a non-competitive basis, subject to the availability of funds, satisfactory progress of the

grantee, and determination that continued funding would be in the best interest of the Government.

- **Federal Share of Project Costs:** The maximum Federal share is not to exceed \$100,000 for the first 12-month budget period or a maximum of \$300,000 for a three-year project period.

- **Matching Requirement:** Grantees must provide at least 25 percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a project requesting \$100,000 in Federal funds (based on an award of \$100,000 per budget period) must include a match of at least \$33,333 (25% total project cost).

- **Anticipated Number of Projects To Be Funded:** It is anticipated that up to two (2) projects will be funded. Subject to availability of additional resources in FY 1996 and the number of acceptable applications received as a result of this program announcement, the ADD Commissioner may elect to select recipients for the FY 1996 cohort of programs out of the pool of applications submitted for FY 1995 funds.

- **CFDA:** ADD's CFDA (Code of Federal Domestic Assistance) number is 93.631—Developmental Disabilities—Projects of National Significance. This information is needed to complete item 10 on the SF 424.

*Fiscal Year 1995 Priority Area 5: Building a Multi-Cultural Network Within the Developmental Disabilities System Which Increases Service Equity, Opportunities, and Inclusion for Individuals From Racial and Ethnic Minority Groups*

- **Eligible Applicants:** Consortium of a State Developmental Disabilities Council, University Affiliated Programs, the Protection and Advocacy Program, national developmental disabilities associations, and other multicultural institutions and organizations.

- **Purpose:** ADD is proposing to fund model demonstration projects that will enable State developmental disabilities networks in partnership with advocacy groups and self-advocates to gain and maintain the knowledge, skills, and competencies necessary to serve and empower a culturally diverse constituency. These projects should assist the components of the State developmental disabilities networks (Developmental Disabilities Councils, Protection and Advocacy Agencies, and University Affiliated Programs) in

obtaining appropriate tools to identify areas of need and to develop action strategies that will address not only current needs but have as a goal institutionalizing cultural competency in every aspect of these programs. In some instances, assistance in cultural competence should be implemented at the community or policy/advocacy level whereas other programs will need assistance at a more basic internal/programmatic level. At the State level, building linkages or connections among and between the Developmental Disabilities Councils, P&As, and UAPs with cultural/ethnic organizations that are representative of community demographics will be essential as these components of the developmental disabilities network develop and implement action strategies. Within and outside the developmental disabilities system are existing resources, both material and human, that these projects should identify and utilize through a range of individuals having personal and/or professional expertise in this area.

- **Background Information:** The reality of an American society in which racial and ethnic cultural minorities are increasing in numbers and influence is becoming more evident each day. There are an estimated four million American children and adults with developmental disabilities, including a disproportionate number who are members of racial and ethnic minority groups. Many of these individuals and families from culturally diverse backgrounds remain outside of the various disability systems designed for their benefit; they are unable to gain access to the service systems, let alone fully participate in or benefit from them. Successful individuals of color with disabilities are often not encouraged or identified to serve as role models for other individuals having disabilities. In large part, the developmental disabilities network does not reflect this new multicultural reality—not among faculty, planners, staffs, trainees, or advocates.

- **Minimum Requirements for Project Design:** The program components of ADD (UAPs, DD Councils, and P&As) have recognized the need to make their programs culturally competent. Each are making efforts to address this need. If any major, long-term progress is to be made a concerted, comprehensive initiative must occur.

For applications to successfully compete under this priority they must include the following:

- Provide an overview of a range of approaches for assisting the program components and the State

developmental disabilities network as a whole to acquire and achieve appropriate knowledge, skills, and competencies for serving a culturally diverse constituency.

- Develop State-level coalitions between Developmental Disabilities Councils, Protection and Advocacy Systems, University Affiliated Programs, and Historically Black Colleges and Universities (HBCUs) and other institutions of higher education with high minority and/or bilingual student enrollment, major civil rights organizations, cultural/ethnic associations, and developmental disability-advocacy organizations.

- Develop an equity service plan to bring the unserved and inadequately served individuals from culturally diverse backgrounds up to greater parity in the distribution of services.

- Develop new ways to gain information from and convey information to members of racial/ethnic/cultural groups.

- Coordinate with national developmental disabilities associations and ethnic and cultural organizations to develop and evaluate a replication package that has as its characteristics that it is user-friendly, relevant to the functions of the program components, and addresses various levels of cultural competency. As part of the evaluation it should be tested in another state.

- Produce a comprehensive dissemination package of best practices, materials, and strategies for distribution between the networks and beyond. A plan for dissemination describing initial activities needs to take place between funded projects as well as at the end of the project period.

- Coordinate with national developmental disabilities associations and ethnic and cultural organizations to maintain and share ongoing information, existing resources of consultants/experts, and curriculum/materials with funded projects and within the network.

- Delineate an outreach plan which has as its focus the sharing of project outcomes and training strategies to the representative associations of the program components, at an ADD national function, to other organizations within the developmental disabilities/advocacy network and the disability field, as well as major civil rights organizations, other minority organizations, and institutions of higher education such as HBCUs with the goal of leading to further collaboration and partnership at the State level in the continued development of cultural competency. Outreach activities can

occur at the national, regional, and/or State level.

- Provide an action plan for the professional recruitment and retention of individuals who are from culturally diverse backgrounds with disabilities into all aspects of the three components of the Developmental Disabilities network, especially in research, training, policy, and administration, and for diverse volunteers to serve as advisors to boards and advocacy organizations.

- Describe measurable outcomes with regard to program components becoming more representative of community demographics in their staff, board members, advisory committees, constituency; or establish memoranda of understanding with the various entities representing racial/ethnic constituencies to implement strategies reflective of the project's outcomes.

- Describe an evaluation component which will measure the project's effectiveness in achieving stated objectives, ensuring that larger numbers of individuals from racial/ethnic/cultural groups are served.

As a general guide, ADD will expect to fund only those applications for projects that incorporate the following elements:

- Consumer/self-advocate orientation and participation.

- Key project personnel with direct life, parental, or familial experience with living with a disability.

- Strong advisory components that consist of 51% individuals with disabilities and a structure where individuals with disabilities make real decisions that determine the outcome of the grant.

- Research reflecting the principles of participatory action.

- Cultural competency.

- A description of how individuals with disabilities and their families will be involved in all aspects of the design, implementation, and evaluation of the project.

- Attention to unserved and inadequately served individuals, having a range of disabilities from mild to severe, from multicultural backgrounds, rural and inner-city areas, and migrant, homeless, and refugee families.

- Compliance with the Americans with Disabilities Act and section 504 of the Rehabilitation Act of 1973 as amended by the Rehabilitation Act amendments of 1992 (Pub. L. 102-569).

- Collaboration through partnerships and coalitions.

- Development of the capacity to communicate and disseminate information and technical assistance through e-mail and other effective,

affordable, and accessible forms of electronic communication.

- A community-based approach.
- Responsiveness through systems change.

- Identification of barriers and strategies for overcoming barriers.

- Outcome orientation.

- Measurement and ongoing evaluation, including the participation of individuals with disabilities in formulation and implementation.

- Development and establishment of practices and programs beyond project period.

- Dissemination of models, products, best practices, and strategies for distribution between the networks and beyond. A plan describing initial activities is needed between funded projects as well as at the end of the project period. These activities should maintain and share ongoing information, existing resources of consultants/experts, and curriculum/materials with funded projects and within the network.

- *Project Duration:* This announcement is soliciting applications for project periods up to three years under this priority area. Awards, on a competitive basis, will be for a one-year budget period, although project periods may be for three years. Applications for continuation grants funded under this priority area beyond the one-year budget period, but within the three-year project period, will be entertained in subsequent years on a non-competitive basis, subject to the availability of funds, satisfactory progress of the grantee, and determination that continued funding would be in the best interest of the Government.

- *Federal Share of Project Costs:* The maximum Federal share is not to exceed \$100,000 for the first 12-month budget period or a maximum of \$300,000 for a three-year project period.

- *Matching Requirement:* Grantees must provide at least 25 percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a project requesting \$100,000 in Federal funds (based on an award of \$100,000 per budget period) must include a match of at least \$33,333 (25% total project cost).

- *Anticipated Number of Projects to be Funded:* It is anticipated that up to three (3) projects will be funded. Subject to availability of additional resources in FY 1996 and the number of acceptable

applications received as a result of this program announcement, the ADD Commissioner may elect to select recipients for the FY 1996 cohort of programs out of the pool of applications submitted for FY 1995 funds.

- *CFDA:* ADD's CFDA (Code of Federal Domestic Assistance) number is 93.631—Developmental Disabilities—Projects of National Significance. This information is needed to complete item 10 on the SF 424.

*Fiscal Year 1995 Priority Area 6: Meeting the Mental Health Needs of Individuals With Developmental Disabilities*

- *Eligible Applicants:* State agencies, public or private nonprofit organizations, institutions or agencies.

- *Purpose:* For this priority area, ADD will award demonstration grant funds on addressing the mental health needs of individuals with developmental disabilities. ADD intends to target individuals, specifically focusing on young adults who are transitioning out of the MR/DD system and into the community with a dual diagnosis of developmental disability and mental illness, and individuals and families of individuals who live in the community and who might be on waiting lists.

- *Background Information:* Meeting the mental health needs of individuals with developmental disabilities is a "quality of life" goal, but often community service personnel have neither the skills nor the desire to effectively treat individuals with developmental disabilities who have mental health needs. In addition, these consumers are often caught between two service delivery systems (mental health and developmental disabilities) where the type and continuity of resources required for effective treatment and improved life quality are inefficient, ineffective, or non-existent. Improving the adequacy and availability of such resources will depend on better training for both specialized and generic service providers.

The challenge of the 1990s is to provide for a coordinated, collaborative human service delivery system that will enable individuals with developmental disabilities to receive services in an expeditious and coordinated manner. The creation of such a system will allow for full community integration and inclusion of individuals who also need mental health services.

- *Minimum Requirements for Project Design:* ADD is interested in projects which demonstrate the potential for creative and humanizing approaches to designing, implementing, and evaluating projects which assist



community agencies in coordinating efforts in the mental health and developmental disabilities service systems; educate self-advocates, family members, advocates, individuals with developmental disabilities, and service providers on state-of-the-art practices in the field of mental illness and developmental disabilities; and develop and disseminate methods for working with the mental health and developmental disabilities networks to promote full inclusion and membership in the community.

In order to successfully compete under this priority area, the application must include activities which would:

- Develop a model and train a team consisting of professionals/paraprofessionals, families, advocates, and self-advocates to help bridge the gap between systems.
- Develop and disseminate a handbook of consensus opinion on psychopharmacology. The Handbook will indicate the opinions of a large panel of consumers, scientists, and practitioners regarding what drugs should be used for what conditions, what best practices should be followed, and how consumers can provide effective oversight.
- Develop strategies to disseminate the Handbook to consumers, Protection and Advocacy agencies, oversight committees, and professionals/paraprofessionals.
- Train people who work in Protection and Advocacy in issues related to Mental Retardation/Mental Health.
- Disseminate anger management training that has been developed for people with mental retardation on a broad national level.
- Develop consumer outcome measures to evaluate the impact of programs. These measures should address the following questions: (1) Are hospitalizations reduced? (2) Do coordinated services enable individuals with developmental disabilities to remain in the community? (3) What is the feasibility of replication in other States? (4) What are the barriers in providing coordinated services? and (5) What is the efficacy of a single point of entry?
- Provide evidence of the applicant's ability to establish an advisory committee comprised of individuals with developmental disabilities and families to address what their expectations are from mental health and developmental disabilities services.
- Provide a signed letter of agreement between the State mental health system and the State developmental disabilities system of the selected project.

As a general guide, ADD will expect to fund only those applications for projects that incorporate the following elements:

- Consumer/self-advocate orientation and participation.
- Key project personnel with direct life, parental, or familial experience with living with a disability.
- Strong advisory components that consist of 51% individuals with disabilities and a structure where individuals with disabilities make real decisions that determine the outcome of the grant.
- Research reflecting the principles of participatory action.
- Cultural competency.
- A description of how individuals with disabilities and their families will be involved in all aspects of the design, implementation, and evaluation of the project.
- Attention to unserved and inadequately served individuals, having a range of disabilities from mild to severe, from multicultural backgrounds, rural and inner-city areas, and migrant, homeless, and refugee families.
- Compliance with the Americans with Disabilities Act and section 504 of the Rehabilitation Act of 1973 as amended by the Rehabilitation Act amendments of 1992 (Pub. L. 102-569).
- Collaboration through partnerships and coalitions.
- Development of the capacity to communicate and disseminate information and technical assistance through e-mail and other effective, affordable, and accessible forms of electronic communication.
- A community-based approach.
- Responsiveness through systems change.
- Identification of barriers and strategies for overcoming barriers.
- Outcome orientation.
- Measurement and ongoing evaluation, including the participation of individuals with disabilities in formulation and implementation.
- Development and establishment of practices and programs beyond project period.
- Dissemination of models, products, best practices, and strategies for distribution between the networks and beyond. A plan describing initial activities is needed between funded projects as well as at the end of the project period. These activities should maintain and share ongoing information, existing resources of consultants/experts, and curriculum/materials with funded projects and within the network.
- *Project Duration:* This announcement is soliciting applications

for project periods up to three years under this priority area. Awards, on a competitive basis, will be for a one-year budget period, although project periods may be for three years. Applications for continuation grants funded under this priority area beyond the one-year budget period, but within the three-year project period, will be entertained in subsequent years on a non-competitive basis, subject to the availability of funds, satisfactory progress of the grantee, and determination that continued funding would be in the best interest of the Government.

- *Federal Share of Project Costs:* The maximum Federal share is not to exceed \$100,000 for the first 12-month budget period or a maximum of \$300,000 for a three-year project period.

- *Matching Requirement:* Grantees must provide at least 25 percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a project requesting \$100,000 in Federal funds (based on an award of \$100,000 per budget period) must include a match of at least \$33,333 (25% total project cost).

- *Anticipated Number of Projects to be Funded:* It is anticipated that up to one (1) project will be funded. Subject to availability of additional resources in FY 1996 and the number of acceptable applications received as a result of this program announcement, the ADD Commissioner may elect to select recipients for the FY 1996 cohort of programs out of the pool of applications submitted for FY 1995 funds.

- *CFDA:* ADD's CFDA (Code of Federal Domestic Assistance) number is 93.631—Developmental Disabilities—Projects of National Significance. This information is needed to complete item 10 on the SF 424.

*Proposed Fiscal Year 1995 Priority Area 7: Children at Risk: The Impact of Abuse and Violence on Children With Disabilities*

- *Eligible Applicants:* A State agency to act as the lead agency in the State for the grant project.

- *Purpose:* ADD is interested in funding one or more State demonstration projects for development and implementation of a Statewide collaboration/coordination strategy to reduce the incidence of abuse and neglect of children with disabilities and reduce the incidence of abuse and neglect of children which causes or

contributes to the development of disabilities.

- **Background Information:** Children with disabilities have been found to be abused at two to ten times the rate of children without disabilities. Most perpetrators of the abuse are well known to the victim. Some of them are service providers, but most are family members. Maltreatment can include physical, sexual, and emotional abuse and physical, educational, and emotional neglect.

In addition, a significant percentage of developmental disabilities are caused by abuse. Victims of child neglect sustain such permanent disabilities as mental retardation and learning and cognitive disabilities. Abusive Head Trauma is a significant cause of disability in abused children and non-organic failure to thrive typically results from abuse or neglect. Over half the fatalities related to child abuse occur from 0 to 1 year and 90 percent of such fatalities occur in children under 5 years of age.

Clearly, there is an epidemic of abuse and neglect of children—3 million reported cases in 1993. Public awareness as well as governmental and professional intervention are urgently needed.

- **Minimum Requirements for the Project Design:** The project should involve developing a comprehensive Statewide strategy with a multi-agency, multi-system approach to address the problem of maltreatment of children with disabilities as well as abuse which leads to disabilities. This coordination and collaboration strategy should involve all pertinent State agencies/programs, including Child Welfare Services, Education, the Developmental Disabilities Protection and Advocacy Agency, Developmental Disabilities Council, Child Care, any State Head Start Coordinator, Health (including mental health and substance abuse, maternal and child health), Human Services/Welfare (AFDC, Medicaid, etc.), Mental Retardation, the criminal justice system, and any other pertinent entities such as a Children's Trust Fund. The project should also involve appropriate State Councils and planning entities including those for Family Preservation and Support, State Interagency Coordinating Council for Part H, IDEA, and other public and private programs/resources including the Developmental Disabilities University Affiliated Program in the State and consumer agencies.

The strategy should include the following components:

- The development of a plan to conduct interdisciplinary training in both the field of child abuse and neglect

and the field of disability, simultaneously, which is designed for State and local agency personnel and other providers concerning the risk, investigation, reporting, assessment, intervention, and follow-up of cases of maltreatment involving children with disabilities and those at risk, including training on how to work collaboratively on an ongoing basis to prevent and reduce the incidence of abuse of children with disabilities and the development of disabilities caused by abuse.

- Design for formation of interdisciplinary teams which include disability specialists to assess and treat cases of abuse and neglect involving children with disabilities, including (1) consideration of the nature of the child's disability (e.g., osteogenesis imperfecta, self-injury) and (2) awareness of such disabilities as Abusive Head Trauma, including Shaken Baby Syndrome, and non-organic failure to thrive.

- The development of ongoing interagency agreements to facilitate coordination and collaboration of all relevant agencies/programs concerned with maltreatment cases involving children with disabilities and those children at risk of disability, including emphasizing the importance of sharing data on abuse cases among agencies involved.

- A plan for providing comprehensive community-based services for the treatment of abuse and neglect involving children with disabilities or children at risk of disability due to abuse.

- A design for prevention activities to reduce incidence of maltreatment cases involving children with disabilities or children at risk of disability, including family support programs, child abuse and neglect training for families of children with disabilities, and training for children which includes appropriate training for those with disabilities.

- Mechanisms to promote implementation of this same multi-agency/multi-system approach in local communities in the State. A State may choose to implement its project in several selected communities or try different approaches in different communities, before implementing its strategy Statewide.

Applications for funding for Statewide demonstration projects and models of prevention and intervention should include an inventory of resources and best practices, plans for replication and dissemination, and methods for the evaluation of outcomes. They should reflect cultural competency and an understanding of legal issues as well as the political realities of

decentralization of service delivery and empowerment of community-based efforts.

As a general guide, ADD will expect to fund only those proposals for projects that incorporate the following elements:

- Consumer/self-advocate orientation and participation.

- Key project personnel with direct life, parental, or familial experience with living with a disability.

- Strong advisory components that consist of 51% individuals with disabilities and a structure where individuals with disabilities make real decisions that determine the outcome of the grant.

- Research reflecting the principles of participatory action.

- Cultural competency.

- A description of how individuals with disabilities and their families will be involved in all aspects of the design, implementation, and evaluation of the project.

- Attention to unserved and inadequately served individuals, having a range of disabilities from mild to severe, from multicultural backgrounds, rural and inner-city areas, migrant, homeless, and refugee families, with severe disabilities.

- Compliance with the Americans with Disabilities Act and section 504 of the Rehabilitation Act of 1973 as amended by the Rehabilitation Act amendments of 1992 (Pub. L. 102-569).

- Collaboration through partnerships and coalitions.

- Development of the capacity to communicate and disseminate information and technical assistance through e-mail and other effective, affordable, and accessible forms of electronic communication.

- A community-based approach.

- Responsiveness through systems change.

- Identification of barriers and strategies for overcoming barriers.

- Outcome orientation.

- Measurement and ongoing evaluation, including the participation of individuals with disabilities in formulation and implementation.

- Development and establishment of practices and programs beyond project period.

- Dissemination of models, products, best practices, and strategies for distribution between the networks and beyond. A plan describing initial activities is needed between funded projects as well as at the end of the project period. These activities should maintain and share ongoing information, existing resources of consultants/experts, and curriculum/materials with funded projects and within the network.

- **Project Duration:** This announcement is soliciting applications for project periods up to three years under this priority area. Awards, on a competitive basis, will be for a one-year budget period, although project periods may be for three years. Applications for continuation grants funded under this priority area beyond the one-year budget period, but within the three-year project period, will be entertained in subsequent years on a non-competitive basis, subject to the availability of funds, satisfactory progress of the grantee, and determination that continued funding would be in the best interest of the Government.

- **Federal Share of Project Costs:** The maximum Federal share is not to exceed \$100,000 for the first 12-month budget period or a maximum of \$300,000 for a three-year project period.

- **Matching Requirement:** Grantees must provide at least 25 percent of the total approved cost of the project. The total approved cost of the project is the sum of the ACF share and the non-Federal share. The non-Federal share may be met by cash or in-kind contributions, although applicants are encouraged to meet their match requirements through cash contributions. Therefore, a project requesting \$100,000 in Federal funds (based on an award of \$100,000 per budget period) must include a match of at least \$33,333 (25% total project cost).

- **Anticipated Number of Projects To Be Funded:** It is anticipated that up to one (1) project will be funded. Subject to availability of additional resources in FY 1996 and the number of acceptable applications received as a result of this program announcement, the ADD Commissioner may elect to select recipients for the FY 1996 cohort of programs out of the pool of applications submitted for FY 1995 funds.

- **CFDA:** ADD's CFDA (Code of Federal Domestic Assistance) number is 93.631—Developmental Disabilities—Projects of National Significance. This information is needed to complete item 10 on the SF 424.

#### **Proposed Fiscal Year 1995 Priority Area 8: Technical Assistance Projects**

For this priority area, ADD will be awarding funds separately using the procurement process to provide technical assistance to improve the functions of the Developmental Disabilities Planning Councils, Protection and Advocacy Systems, and University Affiliated Programs.

#### **Part V. Instructions for the Development and Submission of Applications**

This Part contains information and instructions for submitting applications in response to this announcement. Application forms are provided along with a checklist for assembling an application package. Please copy and use these forms in submitting an application.

Potential applicants should read this section carefully in conjunction with the information contained within the specific priority area under which the application is to be submitted. The priority area descriptions are in Part IV.

##### **A. Required Notification of the State Single Point of Contact**

All applications under the ADD priority areas are required to follow the Executive Order (E.O.) 12372 process, "Intergovernmental Review of Federal Programs," and 45 CFR part 100, "Intergovernmental Review of Department of Health and Human Services Program and Activities." Under the Order, States may design their own processes for reviewing and commenting on proposed Federal assistance under covered programs.

All States and territories, except Alabama, Alaska, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Minnesota, Montana, Nebraska, Oklahoma, Oregon, Pennsylvania, South Dakota, Virginia, Washington, American Samoa and Palau, have elected to participate in the Executive Order process and have established a State Single Point of Contact (SPOC). Applicants from these 19 jurisdictions need take no action regarding E.O. 12372. Applications for projects to be administered by Federally-recognized Indian Tribes are also exempt from the requirements of E.O. 12372. Otherwise, applicants should contact their SPOCs as soon as possible to alert them of the prospective applications and receive any necessary instructions.

Applicants must submit all required materials to the SPOC as soon as possible so that the program office can obtain and review SPOC comments as part of the award process. It is imperative that the applicant submit all required materials and indicate the date of this submittal (or date SPOC was contacted, if no submittal is required) on the SF 424, item 16a.

Under 45 CFR 100.8(a)(2), a SPOC has 60 days from the application due date to comment on proposed new or competing continuation awards. However, there is insufficient time to

allow for a complete SPOC comment period. Therefore, we have reduced the comment period to 45 days from the closing date for applications. These comments are reviewed as part of the award process. Failure to notify the SPOC can result in delays in awarding grants.

SPOCs are encouraged to eliminate the submission of routine endorsements as official recommendations.

Additionally, SPOCs are requested to clearly differentiate between mere advisory comments and those official State process recommendations which may trigger the "accommodate or explain" rule.

When comments are submitted directly to ACF, they should be addressed to: Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, Sixth Floor, 370 L'Enfant Promenade, SW, Washington, DC 20447, Attn: 93.631 ADD—Projects of National Significance.

Contact information for each State's SPOC is found at the end of this Part.

##### **B. Notification of State Developmental Disabilities Planning Councils**

A copy of the application must also be submitted for review and comment to the State Developmental Disabilities Council in each State in which the applicant's project will be conducted. A list of the State Developmental Disabilities Councils is included at the end of this announcement.

##### **C. Deadline for Submittal of Applications**

One signed original and two copies of the application must be submitted on or before August 3, 1995 to: Department of Health and Human Services, Administration for Children and Families, Division of Discretionary Grants, 370 L'Enfant Promenade, SW, 6th Floor, Washington, DC 20447, Attn: 93.631 ADD—Projects of National Significance.

Applications may be mailed or hand-delivered. Hand-delivered applications are accepted during the normal working hours of 8 a.m. to 4:30 p.m., Monday through Friday. Applications shall be considered as meeting an announced deadline if received by the deadline date at the ACF Grants Office (Close of Business: 4:30 p.m., local prevailing time).

**Late applications:** Applications which do not meet the criterion stated above are considered late applications. ACF/ADD shall notify each late applicant that its application will not be considered in the current competition.

*Extension of deadlines:* ACF may extend the deadline for all applicants due to acts of God, such as floods, hurricanes, or earthquakes; or when there is a widespread disruption of the mails. However, if the granting agency does not extend the deadline for all applicants, it may not waive or extend the deadline for any applicants.

*D. Instructions for Preparing the Application and Completing Application Forms*

The SF 424, SF 424A, SF 424A, Page 2 and Certifications have been reprinted for your convenience in preparing the application. You should reproduce single-sided copies of these forms from the reprinted forms in the announcement, typing your information onto the copies. Please do not use forms directly from the **Federal Register** announcement, as they are printed on both sides of the page.

Please prepare your application in accordance with the following instructions:

1. SF 424 Page 1, Application Cover Sheet

Please read the following instructions before completing the application cover sheet. An explanation of each item is included. Complete only the items specified.

Top of Page. Enter the single priority area number under which the application is being submitted. An application should be submitted under only one priority area.

Item 1. "Type of Submission"—Preprinted on the form.

Item 2. "Date Submitted" and "Applicant Identifier"—Date application is submitted to ACF and applicant's own internal control number, if applicable.

Item 3. "Date Received By State"—State use only (if applicable).

Item 4. "Date Received by Federal Agency"—Leave blank.

Item 5. "Applicant Information".

"Legal Name"—Enter the legal name of applicant organization. For applications developed jointly, enter the name of the lead organization only. There must be a single applicant for each application.

"Organizational Unit"—Enter the name of the primary unit within the applicant organization which will actually carry out the project activity. Do not use the name of an individual as the applicant. If this is the same as the applicant organization, leave the organizational unit blank.

"Address"—Enter the complete address that the organization actually uses to receive mail, since this is the

address to which all correspondence will be sent. Do not include both street address and P.O. box number unless both must be used in mailing.

"Name and telephone number of the person to be contacted on matters involving this application (give area code)"—Enter the full name (including academic degree, if applicable) and telephone number of a person who can respond to questions about the application. This person should be accessible at the address given here and will receive all correspondence regarding the application.

Item 6. "Employer Identification Number (EIN)"—Enter the employer identification number of the applicant organization, as assigned by the Internal Revenue Service, including, if known, the Central Registry System suffix.

Item 7. "Type of Applicant"—Self-explanatory.

Item 8. "Type of Application"—Preprinted on the form.

Item 9. "Name of Federal Agency"—Preprinted on the form.

Item 10. "Catalog of Federal Domestic Assistance Number and Title"—Enter the Catalog of Federal Domestic Assistance (CFDA) number assigned to the program under which assistance is requested and its title. For all of ADD's priority areas, the following should be entered, "93.631—Developmental Disabilities: Projects of National Significance."

Item 11. "Descriptive Title of Applicant's Project"—Enter the project title. The title is generally short and is descriptive of the project, not the priority area title.

Item 12. "Areas Affected by Project"—Enter the governmental unit where significant and meaningful impact could be observed. List only the largest unit or units affected, such as State, county, or city. If an entire unit is affected, list it rather than subunits.

Item 13. "Proposed Project"—Enter the desired start date for the project and projected completion date.

Item 14. "Congressional District of Applicant/Project"—Enter the number of the Congressional district where the applicant's principal office is located and the number of the Congressional district(s) where the project will be located. If Statewide, a multi-State effort, or nationwide, enter "00."

Items 15. Estimated Funding Levels. In completing 15a through 15f, the dollar amounts entered should reflect, for a 17-month or less project period, the total amount requested. If the proposed project period exceeds 17 months, enter only those dollar amounts needed for the first 12 months of the proposed project.

Item 15a. Enter the amount of Federal funds requested in accordance with the preceding paragraph. This amount should be no greater than the maximum amount specified in the priority area description.

Items 15 b–e. Enter the amount(s) of funds from non-Federal sources that will be contributed to the proposed project. Items b–e are considered cost-sharing or "matching funds." The value of third party in-kind contributions should be included on appropriate lines as applicable. For more information regarding funding as well as exceptions to these rules, see Part III, Sections E and F, and the specific priority area description.

Item 15f. Enter the estimated amount of program income, if any, expected to be generated from the proposed project. Do not add or subtract this amount from the total project amount entered under item 15g. Describe the nature, source and anticipated use of this program income in the Project Narrative Statement.

Item 15g. Enter the sum of items 15a–15e.

Item 16a. "Is Application Subject to Review By State Executive Order 12372 Process? Yes."—Enter the date the applicant contacted the SPOC regarding this application. Select the appropriate SPOC from the listing provided at the end of Part IV. The review of the application is at the discretion of the SPOC. The SPOC will verify the date noted on the application.

Item 16b. "Is Application Subject to Review By State Executive Order 12372 Process? No."—Check the appropriate box if the application is not covered by E.O. 12372 or if the program has not been selected by the State for review.

Item 17. "Is the Applicant Delinquent on any Federal Debt?"—Check the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include audit disallowances, loans and taxes.

Item 18. "To the best of my knowledge and belief, all data in this application/preapplication are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded."—To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for signature of this application by this individual as the official representative must be on file in the applicant's office, and may be requested from the applicant.

Item 18 a-c. "Typed Name of Authorized Representative, Title, Telephone Number"—Enter the name, title and telephone number of the authorized representative of the applicant organization.

Item 18d. "Signature of Authorized Representative"—Signature of the authorized representative named in Item 18a. At least one copy of the application must have an original signature. Use colored ink (not black) so that the original signature is easily identified.

Item 18e. "Date Signed"—Enter the date the application was signed by the authorized representative.

## 2. SF 424A—Budget Information—Non-Construction Programs

This is a form used by many Federal agencies. For this application, Sections A, B, C, E and F are to be completed. Section D does not need to be completed.

Sections A and B should include the Federal as well as the non-Federal funding for the proposed project covering (1) the total project period of 17 months or less or (2) the first year budget period, if the proposed project period exceeds 15 months.

**Section A—Budget Summary.** This section includes a summary of the budget. On line 5, enter total Federal costs in column (e) and total non-Federal costs, including third party in-kind contributions, but not program income, in column (f). Enter the total of (e) and (f) in column (g).

**Section B—Budget Categories.** This budget, which includes the Federal as well as non-Federal funding for the proposed project, covers (1) the total project period of 17 months or less or (2) the first-year budget period if the proposed project period exceeds 17 months. It should relate to item 15g, total funding, on the SF 424. Under column (5), enter the total requirements for funds (Federal and non-Federal) by object class category.

A separate budget justification should be included to explain fully and justify major items, as indicated below. The types of information to be included in the justification are indicated under each category. For multiple year projects, it is desirable to provide this information for each year of the project. The budget justification should immediately follow the second page of the SF 424A.

**Personnel—Line 6a.** Enter the total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants, which should be included on line 6h, "Other."

**Justification:** Identify the principal investigator or project director, if

known. Specify by title or name the percentage of time allocated to the project, the individual annual salaries, and the cost to the project (both Federal and non-Federal) of the organization's staff who will be working on the project.

**Fringe Benefits—Line 6b.** Enter the total costs of fringe benefits, unless treated as part of an approved indirect cost rate.

**Justification:** Provide a break-down of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement insurance, etc.

**Travel—6c.** Enter total costs of out-of-town travel (travel requiring per diem) for staff of the project. Do not enter costs for consultant's travel or local transportation, which should be included on Line 6h, "Other."

**Justification:** Include the name(s) of traveler(s), total number of trips, destinations, length of stay, transportation costs and subsistence allowances.

**Equipment—Line 6d.** Enter the total costs of all equipment to be acquired by the project. For State and local governments, including Federally recognized Indian Tribes, "equipment" is tangible, non-expendable personal property having a useful life of more than one year and acquisition cost of \$5,000 or more per unit.

**Justification:** Equipment to be purchased with Federal funds must be justified. The equipment must be required to conduct the project, and the applicant organization or its subgrantees must not have the equipment or a reasonable facsimile available to the project. The justification also must contain plans for future use or disposal of the equipment after the project ends.

**Supplies—Line 6e.** Enter the total costs of all tangible expendable personal property (supplies) other than those included on Line 6d.

**Justification:** Specify general categories of supplies and their costs.

**Contractual—Line 6f.** Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.) and (2) contracts with secondary recipient organizations, including delegate agencies. Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line. If the name of the contractor, scope of work, and estimated total costs are not available or have not been negotiated, include on Line 6h, "Other."

**Justification:** Attach a list of contractors, indicating the names of the organizations, the purposes of the

contracts, and the estimated dollar amounts of the awards as part of the budget justification. Whenever the applicant/grantee intends to delegate part or all of the program to another agency, the applicant/grantee must complete this section (Section B, Budget Categories) for each delegate agency by agency title, along with the supporting information. The total cost of all such agencies will be part of the amount shown on Line 6f. Provide backup documentation identifying the name of contractor, purpose of contract, and major cost elements.

**Construction—Line 6g.** Not applicable. New construction is not allowable.

**Other—Line 6h.** Enter the total of all other costs. Where applicable, such costs may include, but are not limited to: Insurance; medical and dental costs; noncontractual fees and travel paid directly to individual consultants; local transportation (all travel which does not require per diem is considered local travel); space and equipment rentals; printing and publication; computer use; training costs, including tuition and stipends; training service costs, including wage payments to individuals and supportive service payments; and staff development costs. Note that costs identified as "miscellaneous" and "honoraria" are not allowable.

**Justification:** Specify the costs included.

**Total Direct Charges—Line 6i.** Enter the total of Lines 6a through 6h.

**Indirect Charges—6j.** Enter the total amount of indirect charges (costs). If no indirect costs are requested, enter "none." Generally, this line should be used when the applicant (except local governments) has a current indirect cost rate agreement approved by the Department of Health and Human Services or another Federal agency.

Local and State governments should enter the amount of indirect costs determined in accordance with HHS requirements. When an indirect cost rate is requested, these costs are included in the indirect cost pool and should not be charged again as direct costs to the grant.

In the case of training grants to other than State or local governments (as defined in title 45, Code of Federal Regulations, part 74), the Federal reimbursement of indirect costs will be limited to the lesser of the negotiated (or actual) indirect cost rate or 8 percent of the amount allowed for direct costs, exclusive of any equipment charges, rental of space, tuition and fees, post-doctoral training allowances, contractual items, and alterations and renovations.

For training grant applications, the entry under line 6j should be the total indirect costs being charged to the project. The Federal share of indirect costs is calculated as shown above. The applicant's share is calculated as follows:

(a) Calculate total project indirect costs (a\*) by applying the applicant's approved indirect cost rate to the total project (Federal and non-Federal) direct costs.

(b) Calculate the Federal share of indirect costs (b\*) at 8 percent of the amount allowed for total project (Federal and non-Federal) direct costs exclusive of any equipment charges, rental of space, tuition and fees, post-doctoral training allowances, contractual items, and alterations and renovations.

(c) Subtract (b\*) from (a\*). The remainder is what the applicant can claim as part of its matching cost contribution.

*Justification:* Enclose a copy of the indirect cost rate agreement. Applicants subject to the limitation on the Federal reimbursement of indirect costs for training grants should specify this.

*Total—Line 6k.* Enter the total amounts of lines 6i and 6j.

*Program Income—Line 7.* Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount.

*Justification:* Describe the nature, source, and anticipated use of program income in the Program Narrative Statement.

*Section C—Non-Federal Resources.* This section summarizes the amounts of non-Federal resources that will be applied to the grant. Enter this information on line 12 entitled "Totals." In-kind contributions are defined in title 45 of the Code of Federal Regulations, §§ 74.51 and 92.24, as "property or services which benefit a grant-supported project or program and which are contributed by non-Federal third parties without charge to the grantee, the subgrantee, or a cost-type contractor under the grant or subgrant."

*Justification:* Describe third party in-kind contributions, if included.

*Section D—Forecasted Cash Needs.* Not applicable.

*Section E—Budget Estimate of Federal Funds Needed For Balance of the Project.* This section should only be completed if the total project period exceeds 17 months.

*Totals—Line 20.* For projects that will have more than one budget period, enter the estimated required Federal funds for the second budget period (months 13 through 24) under column "(b) First." If

a third budget period will be necessary, enter the Federal funds needed for months 25 through 36 under "(c) Second." Columns (d) and (e) are not applicable in most instances, since ACF funding is almost always limited to a three-year maximum project period. They should remain blank.

*Section F—Other Budget Information. Direct Charges—Line 21.* Not applicable.

*Indirect Charges—Line 22.* Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

*Remarks—Line 23.* If the total project period exceeds 17 months, you must enter your proposed non-Federal share of the project budget for each of the remaining years of the project.

### 3. Project Summary Description

Clearly mark this separate page with the applicant name as shown in item 5 of the SF 424, the priority area number as shown at the top of the SF 424, and the title of the project as shown in item 11 of the SF 424. The summary description should not exceed 300 words. These 300 words become part of the computer database on each project.

Care should be taken to produce a summary description which accurately and concisely reflects the proposal. It should describe the objectives of the project, the approaches to be used and the outcomes expected. The description should also include a list of major products that will result from the proposed project, such as software packages, materials, management procedures, data collection instruments, training packages, or videos (please note that audiovisuals should be closed captioned). The project summary description, together with the information on the SF 424, will constitute the project "abstract." It is the major source of information about the proposed project and is usually the first part of the application that the reviewers read in evaluating the application.

### 4. Program Narrative Statement

The Program Narrative Statement is a very important part of an application. It should be clear, concise, and address the specific requirements mentioned under the priority area description in Part IV. The narrative should also provide information concerning how the application meets the evaluation criteria, using the following headings:

- (a) Objectives and Need for Assistance;
- (b) Results and Benefits Expected;

- (c) Approach; and
- (d) Staff Background and Organization's Experience.

The specific information to be included under each of these headings is described in Section C of Part III, Evaluation Criteria.

The narrative should be typed double-spaced on a single-side of an 8½"×11" plain white paper, with 1" margins on all sides. All pages of the narrative (including charts, references/footnotes, tables, maps, exhibits, etc.) must be sequentially numbered, beginning with "Objectives and Need for Assistance" as page number one. Applicants should not submit reproductions of larger size paper, reduced to meet the size requirement.

The length of the application, including the application forms and all attachments, should not exceed 60 pages. A page is a single side of an 8½"×11" sheet of paper. Applicants are requested not to send pamphlets, brochures or other printed material along with their application as these pose xeroxing difficulties. These materials, if submitted, will not be included in the review process if they exceed the 60-page limit. Each page of the application will be counted to determine the total length.

### 5. Organizational Capability Statement

The Organizational Capability Statement should consist of a brief (two to three pages) background description of how the applicant organization (or the unit within the organization that will have responsibility for the project) is organized, the types and quantity of services it provides, and/or the research and management capabilities it possesses. This description should cover capabilities not included in the Program Narrative Statement. It may include descriptions of any current or previous relevant experience, or describe the competence of the project team and its demonstrated ability to produce a final product that is readily comprehensible and usable. An organization chart showing the relationship of the project to the current organization should be included.

### 6. Part V—Assurances/Certifications

Applicants are required to file an SF 424B, Assurances—Non-Construction Programs and the Certification Regarding Lobbying. Both must be signed and returned with the application. Applicants must also provide certifications regarding: (1) Drug-Free Workplace Requirements; and (2) Debarment and Other Responsibilities. These two certifications are self-explanatory.

Copies of these assurances/certifications are reprinted at the end of this announcement and should be reproduced, as necessary. A duly authorized representative of the applicant organization must certify that the applicant is in compliance with these assurances/certifications. A signature on the SF 424 indicates compliance with the Drug Free Workplace Requirements, and Debarment and Other Responsibilities certifications, and need not be mailed back with the application.

In addition, applicants are required under Section 162(c)(3) of the Act to provide assurances that the human rights of all individuals with developmental disabilities (especially those individuals without familial protection) who will receive services under projects assisted under Part E will be protected consistent with section 110 (relating to the rights of individuals with developmental disabilities). Each application must include a statement providing this assurance.

For research projects in which human subjects may be at risk, a Protection of Human Subjects Assurance may be required. If there is a question regarding the applicability of this assurance, contact the Office for Research Risks of the National Institutes of Health at (301) 496-7041.

#### *E. Checklist for a Complete Application*

The checklist below is for your use to ensure that your application package has been properly prepared.

\_\_\_\_\_ One original, signed and dated application, plus two copies.  
Applications for different priority areas are packaged separately;  
\_\_\_\_\_ Application is from an organization which is eligible under the eligibility requirements defined in the priority area description (screening requirement);  
\_\_\_\_\_ Application length does not exceed 60 pages, unless otherwise specified in the priority area description.  
A complete application consists of the following items in this order:  
\_\_\_\_\_ Application for Federal Assistance (SF 424, REV 4-88);  
\_\_\_\_\_ A completed SPOC certification with the date of SPOC contact entered in line 16, page 1 of the SF 424 if applicable.  
\_\_\_\_\_ Budget Information—Non-Construction Programs (SF 424A, REV 4-88);  
\_\_\_\_\_ Budget justification for Section B—Budget Categories;  
\_\_\_\_\_ Table of Contents;  
\_\_\_\_\_ Letter from the Internal Revenue Service, etc. to prove non-profit status, if necessary;  
\_\_\_\_\_ Copy of the applicant's approved indirect cost rate agreement, if appropriate;  
\_\_\_\_\_ Project summary description and listing of key words; Program Narrative Statement (See Part III, Section C);  
\_\_\_\_\_ Organizational capability statement, including an organization chart;

\_\_\_\_\_ Any appendices/attachments;  
\_\_\_\_\_ Assurances—Non-Construction Programs (Standard Form 424B, REV 4-88);  
\_\_\_\_\_ Certification Regarding Lobbying;  
\_\_\_\_\_ Certification of Protection of Human Subjects, if necessary; and  
\_\_\_\_\_ Certification Regarding Environmental Tobacco Smoke

#### *F. The Application Package*

Each application package must include an original and two copies of the complete application. Each copy should be stapled securely (front and back if necessary) in the upper left-hand corner. All pages of the narrative (including charts, tables, maps, exhibits, etc.) must be sequentially numbered, beginning with page one. In order to facilitate handling, please do not use covers, binders or tabs. Do not include extraneous materials as attachments, such as agency promotion brochures, slides, tapes, film clips, minutes of meetings, survey instruments or articles of incorporation.

(Federal Catalog of Domestic Assistance Number 93.631 Developmental Disabilities—Projects of National Significance)

Dated: June 12, 1995.

**Bob Williams,**

*Commissioner, Administration on Developmental Disabilities.*

BILLING CODE 4184-01-P



OMB Approval No. 0348-0043

[illegible]

Standard Form 424 (REV 4-88)  
Prescribed by OMB Circular A-102

BILLING CODE 4184-01-C

**Instructions for the SF 424**

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

**Item and Entry:**

1. Self-explanatory.
2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).
3. State use only (if applicable).
4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.
5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.
6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.
7. Enter the appropriate letter in the space provided.

8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:

- “New” means a new assistance award.
- “Continuation” means an extension for an additional funding/budget period for a project with a projected completion date.
- “Revision” means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.

9. Name of Federal agency from which assistance is being requested with this application.

10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.

11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

12. List only the largest political entities affected (e.g., State, counties, cities).

13. Self-explanatory.

14. List the applicant's Congressional District and any District(s) affected by the program or project.

15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind

contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate *only* the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.

16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.

17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.

18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

**BILLING CODE 4184-01-P**

OMB Approval No. 0348-0044

**BUDGET INFORMATION — Non-Construction Programs**

SECTION A — BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

  

SECTION B — BUDGET CATEGORIES						
Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY					Total (5)
	(1)	(2)	(3)	(4)	(5)	
a. Personnel	\$	\$	\$	\$	\$	\$
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (sum of 6a - 6h)						
j. Indirect Charges						
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$	\$

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Standard Form 424A (4-88)  
Prescribed by OMB Circular A-102

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	
9.					
10.					
11.					
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$	
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$	\$	\$	\$	\$
13. Federal		\$	\$	\$	\$
14. Nonfederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				(e) Fourth
	(b) First	(c) Second	(d) Third		
16.	\$	\$	\$	\$	\$
17.					
18.					
19.					
20. TOTALS (sum of lines 16-19)	\$	\$	\$	\$	\$
SECTION F - OTHER BUDGET INFORMATION (Attach additional Sheets if Necessary)					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks					

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**Instructions for the SF-424A****General Instructions**

This form is designed so that applications can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a–k of Section B.

**Section A. Budget Summary**

Lines 1–4, Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title one each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1–4, Columns (c) through (g.)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The

amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5—Show the totals for all columns used.

**Section B Budget Categories**

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1–4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a–i—Show the totals of Lines 6a to 6h in each column.

Line 6j—Show the amount of indirect cost.

Line 6k—Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)–(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7—Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

**Section C. Non-Federal-Resources**

Lines 8–11—Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a)—Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b)—Enter the contribution to be made by the applicant.

Column (c)—Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d)—Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e)—Enter totals of Columns (b), (c), and (d).

Line 12—Enter the total for each of Columns (b)–(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

**Section D. Forecasted Cash Needs**

Line 13—Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14—Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15—Enter the totals of amounts on Lines 13 and 14.

**Section E. Budget Estimates of Federal Funds Needed for Balance of the Project**

Lines 16–19—Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20—Enter the total for each of the Columns (b)–(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

**Section F. Other Budget Information**

Line 21—Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22—Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23—Provide any other explanations or comments deemed necessary.

**ASSURANCES—NON-CONSTRUCTION PROGRAMS**

**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (Pub. L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (Pub. L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Pub. L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (Pub. L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (Pub. L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources

of drinking water under the Safe Drinking Water Act of 1974, as amended, (Pub. L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended (Pub. L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).

14. Will comply with Pub. L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (Pub. L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

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Signature of Authorized Certifying Official

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Applicant Organization

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Title

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Date Submitted

BILLING CODE 4184-01-P

Attachment B

**U.S. Department of Health and Human Services**  
**Certification Regarding Drug-Free Workplace Requirements**  
**Grantees Other Than Individuals**

**By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.**

This certification is required by regulations implementing the Drug-Free Workplace Act of 1988, 45 CFR Part 76, Subpart F. The regulations, published in the May 25, 1990 Federal Register, require certification by grantees that they will maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the Department of Health and Human Services (HHS) determines to award the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HHS, in addition to any other remedies available to the Federal Government, may taken action authorized under the Drug-Free Workplace Act. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or governmentwide suspension or debarment.

Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios.)

If the workplace identified to HHS changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see above).

Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 USC 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15).

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

**The grantee certifies that it will or will continue to provide a drug-free workplace by:**

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace; (2) The grantee's policy of maintaining a drug-free workplace; (3) Any available drug counseling, rehabilitation, and employee assistance programs; and, (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and, (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;



(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or, (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant (use attachments, if needed):

Place of Performance (Street address, City, County, State, ZIP Code) \_\_\_\_\_

Check ☐ if there are workplaces on file that are not identified here.

Sections 76.630(c) and (d)(2) and 76.635(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central receipt point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, S.W., Washington, D.C. 20201.

DGMO Form#2 Revised May 1990

**Attachment C—Certification Regarding Debarment, Suspension, and Other Responsibility Matters—Primary Covered Transactions**

By signing and submitting this proposal, the applicant, defined as the primary participant in accordance with 45 CFR part 76, certifies to the best of its knowledge and belief that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency;
- (b) Have not within a 3-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1) (b) of this certification; and
- (d) Have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

The inability of a person to provide the certification required above will not necessarily result in denial of participation in this covered transaction. If necessary, the prospective participant shall submit an explanation of why it cannot provide the certification. The certification or explanation will be considered in connection with the Department of Health and Human Services (HHS) determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

The prospective primary participant agrees that by submitting this proposal, it will include the clause entitled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion—Lower Tier Covered Transaction," provided below without modification in all lower tier covered

transactions and in all solicitations for lower tier covered transactions.

*Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions*

(To Be Supplied to Lower Tier Participants)

By signing and submitting this lower tier proposal, the prospective lower tier participant, as defined in 45 CFR part 76, certifies to the best of its knowledge and belief that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
- (b) Where the prospective lower tier participant is unable to certify to any of the above, such prospective participant shall attach an explanation to this proposal.

The prospective lower tier participant further agrees by submitting this proposal that it will include this clause entitled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion—Lower Tier Covered Transactions," without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

**Attachment D—Certification Regarding Lobbying**

*Certification for Contracts, Grants, Loans, and Cooperative Agreements*

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or

employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit standard Form—LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

*State for Loan Guarantee and Loan Insurance*

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form—LLL "Disclosure Form to Report Lobbying," in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature

Title

Organization

Date

BILLING CODE 4184-01-P

**DISCLOSURE OF LOBBYING ACTIVITIES**Approved by OM  
0348-0046Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure.)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	<b>3. Report Type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known:  Congressional District, if known: _____	<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>  Congressional District, if known: _____	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$ _____	
<b>10. a. Name and Address of Lobbying Entity (if individual, last name, first name, MI):</b>  <div style="text-align: center;">(attach Continuation Sheet(s) SF-LLL-A, if necessary)</div>		
<b>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</b>  <div style="text-align: center;">(attach Continuation Sheet(s) SF-LLL-A, if necessary)</div>		
<b>11. Amount of Payment (check all that apply):</b> \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	<b>13. Type of Payment (check all that apply):</b> <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other; specify: _____	
<b>12. Form of Payment (check all that apply):</b> <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____		
<b>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11:</b>  <div style="text-align: center;">(attach Continuation Sheet(s) SF-LLL-A, if necessary)</div>		
<b>15. Continuation Sheet(s) SF-LLL-A attached:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No		
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <b>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b> </div> <div style="width: 50%;"> <b>Signature:</b> _____  <b>Print Name:</b> _____  <b>Title:</b> _____  <b>Telephone No.:</b> _____ <b>Date:</b> _____           </div> </div>		
<b>Federal Use Only:</b>		Authorized for Local Reproduction Standard Form - LLL

**Attachment E—Certification Regarding Environmental Tobacco Smoke**

Public Law 103-227, Part C—Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs

either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per day and/or the imposition of an

administrative compliance order on the responsible entity.

By signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act. The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for children's services and that all subgrantees shall certify accordingly.

BILLING CODE 4184-01-P

Attachment F

<p style="text-align: center;"><b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b></p> <p style="text-align: center;"><b>PROTECTION OF HUMAN SUBJECTS</b></p> <p style="text-align: center;"><b>ASSURANCE/CERTIFICATION/DECLARATION</b></p> <p> <input type="checkbox"/> ORIGINAL    <input type="checkbox"/> FOLLOWUP    <input type="checkbox"/> REVISION       </p>	<p> <input type="checkbox"/> GRANT    <input type="checkbox"/> CONTRACT    <input type="checkbox"/> FELLOW    <input type="checkbox"/> OTHER       </p> <p> <input type="checkbox"/> NEW    <input type="checkbox"/> RENEWAL    <input type="checkbox"/> CONTINUATION       </p> <p>APPLICATION IDENTIFICATION NUMBER (if known)</p>
---	--

*STATEMENT OF POLICY: Safeguarding the rights and welfare of subjects at risk in activities supported under grants and contracts from DHHS is primarily the responsibility of the institution which receives or is accountable to DHHS for the funds awarded for the support of the activity. In order to provide for the adequate discharge of this institutional responsibility, it is the policy of DHHS that no activity involving human subjects to be supported by DHHS grants or contracts shall be undertaken unless the Institutional Review Board has reviewed and approved such activity, and the institution has submitted to DHHS a certification of such review and approval, in accordance with the requirements of Public Law 93-348, as implemented by Part 46 of Title 45 of the Code of Federal Regulations, as amended, (45 CFR 46). Administration of the DHHS policy and regulation is the responsibility of the Office for Protection from Research Risks, National Institutes of Health, Bethesda, MD 20205.*

1. TITLE OF PROPOSAL OR ACTIVITY

---

2. PRINCIPAL INVESTIGATOR/ACTIVITY DIRECTOR/FELLOW

---

3. DECLARATION THAT HUMAN SUBJECTS EITHER WOULD OR WOULD NOT BE INVOLVED

☐ A. NO INDIVIDUALS WHO MIGHT BE CONSIDERED HUMAN SUBJECTS, INCLUDING THOSE FROM WHOM ORGANS, TISSUES, FLUIDS, OR OTHER MATERIALS WOULD BE DERIVED, OR WHO COULD BE IDENTIFIED BY PERSONAL DATA, WOULD BE INVOLVED IN THE PROPOSED ACTIVITY. (IF NO HUMAN SUBJECTS WOULD BE INVOLVED, CHECK THIS BOX AND PROCEED TO ITEM 7. PROPOSALS DETERMINED BY THE AGENCY TO INVOLVE HUMAN SUBJECTS WILL BE RETURNED.)

☐ B. HUMAN SUBJECTS WOULD BE INVOLVED IN THE PROPOSED ACTIVITY AS EITHER: ☐ NONE OF THE FOLLOWING, OR INCLUDING: ☐ MINORS, ☐ FETUSES, ☐ ABORTUSES, ☐ PREGNANT WOMEN, ☐ PRISONERS, ☐ MENTALLY RETARDED, ☐ MENTALLY DISABLED. UNDER SECTION 6. COOPERATING INSTITUTIONS, ON REVERSE OF THIS FORM, GIVE NAME OF INSTITUTION AND NAME AND ADDRESS OF OFFICIAL(S) AUTHORIZING ACCESS TO ANY SUBJECTS IN FACILITIES NOT UNDER DIRECT CONTROL OF THE APPLICANT OR OFFERING INSTITUTION.

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4. DECLARATION OF ASSURANCE STATUS/CERTIFICATION OF REVIEW

☐ A. THIS INSTITUTION HAS NOT PREVIOUSLY FILED AN ASSURANCE AND ASSURANCE IMPLEMENTING PROCEDURES FOR THE PROTECTION OF HUMAN SUBJECTS WITH THE DHHS THAT APPLIES TO THIS APPLICATION OR ACTIVITY. ASSURANCE IS HEREBY GIVEN THAT THIS INSTITUTION WILL COMPLY WITH REQUIREMENTS OF DHHS Regulation 45 CFR 46, THAT IT HAS ESTABLISHED AN INSTITUTIONAL REVIEW BOARD FOR THE PROTECTION OF HUMAN SUBJECTS AND, WHEN REQUESTED, WILL SUBMIT TO DHHS DOCUMENTATION AND CERTIFICATION OF SUCH REVIEWS AND PROCEDURES AS MAY BE REQUIRED FOR IMPLEMENTATION OF THIS ASSURANCE FOR THE PROPOSED PROJECT OR ACTIVITY.

☐ B. THIS INSTITUTION HAS AN APPROVED GENERAL ASSURANCE (DHHS ASSURANCE NUMBER \_\_\_\_\_) OR AN ACTIVE SPECIAL ASSURANCE FOR THIS ONGOING ACTIVITY, ON FILE WITH DHHS. THE SIGNER CERTIFIES THAT ALL ACTIVITIES IN THIS APPLICATION PROPOSING TO INVOLVE HUMAN SUBJECTS HAVE BEEN REVIEWED AND APPROVED BY THIS INSTITUTION'S INSTITUTIONAL REVIEW BOARD IN A CONVENED MEETING ON THE DATE OF \_\_\_\_\_ IN ACCORDANCE WITH THE REQUIREMENTS OF THE Code of Federal Regulations on Protection of Human Subjects (45 CFR 46). THIS CERTIFICATION INCLUDES, WHEN APPLICABLE, REQUIREMENTS FOR CERTIFYING FDA STATUS FOR EACH INVESTIGATIONAL NEW DRUG TO BE USED (SEE REVERSE SIDE OF THIS FORM).

THE INSTITUTIONAL REVIEW BOARD HAS DETERMINED, AND THE INSTITUTIONAL OFFICIAL SIGNING BELOW CONCURS THAT:

EITHER ☐ HUMAN SUBJECTS WILL NOT BE AT RISK;    OR ☐ HUMAN SUBJECTS WILL BE AT RISK.

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5. AND 6. SEE REVERSE SIDE

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7. NAME AND ADDRESS OF INSTITUTION

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8. TITLE OF INSTITUTIONAL OFFICIAL	TELEPHONE NUMBER
SIGNATURE OF INSTITUTIONAL OFFICIAL	DATE

HHS-596 (Rev. 5-80)

**ENCLOSE THIS FORM WITH THE PROPOSAL OR RETURN IT TO REQUESTING AGENCY.**

**5. INVESTIGATIONAL NEW DRUGS - ADDITIONAL CERTIFICATION REQUIREMENT**

*SECTION 46.17 OF TITLE 45 OF THE Code of Federal Regulations states, "Where an organization is required to prepare or to submit a certification . . . and the proposal involves an investigational new drug within the meaning of The Food, Drug, and Cosmetic Act, the drug shall be identified in the certification together with a statement that the 30-day delay required by 21 CFR 130.3(a)(2) has elapsed and the Food and Drug Administration has not, prior to expiration of such 30-day interval, requested that the sponsor continue to withhold or to restrict use of the drug in human subjects; or that the Food and Drug Administration has waived the 30-day delay requirement; provided, however, that in those cases in which the 30-day delay interval has neither expired nor been waived, a statement shall be forwarded to DHHS upon such expiration or upon receipt of a waiver. No certification shall be considered acceptable until such statement has been received."*

**INVESTIGATIONAL NEW DRUG CERTIFICATION**

TO CERTIFY COMPLIANCE WITH FDA REQUIREMENTS FOR PROPOSED USE OF INVESTIGATIONAL NEW DRUGS IN ADDITION TO CERTIFICATION OF INSTITUTIONAL REVIEW BOARD APPROVAL, THE FOLLOWING REPORT FORMAT SHOULD BE USED FOR EACH IND: (ATTACH ADDITIONAL IND CERTIFICATIONS AS NECESSARY).

- IND FORMS FILED: ☐ FDA 1571, ☐ FDA 1572, ☐ FDA 1573
- NAME OF IND AND SPONSOR \_\_\_\_\_
- DATE OF 30-DAY EXPIRATION OR FDA WAIVER  
(FUTURE DATE REQUIRES FOLLOWUP REPORT TO AGENCY) \_\_\_\_\_
- FDA RESTRICTION \_\_\_\_\_
- SIGNATURE OF INVESTIGATOR \_\_\_\_\_ DATE \_\_\_\_\_

**6. COOPERATING INSTITUTIONS - ADDITIONAL REPORTING REQUIREMENT**

*SECTION 46.16 OF TITLE 45 OF THE Code of Federal Regulations IMPOSES SPECIAL REQUIREMENTS ON THE CONDUCT OF STUDIES OR ACTIVITIES IN WHICH THE GRANTEE OR PRIME CONTRACTOR OBTAINS ACCESS TO ALL OR SOME OF THE SUBJECTS THROUGH COOPERATING INSTITUTIONS NOT UNDER ITS CONTROL. IN ORDER THAT THE DHHS BE FULLY INFORMED, THE FOLLOWING REPORT IS REQUESTED WHEN APPLICABLE.*

USE FOLLOWING REPORT FORMAT FOR EACH INSTITUTION OTHER THAN GRANTEE OR CONTRACTING INSTITUTION WITH RESPONSIBILITY FOR HUMAN SUBJECTS PARTICIPATING IN THIS ACTIVITY: (ATTACH ADDITIONAL REPORT SHEETS AS NECESSARY).

**INSTITUTIONAL AUTHORIZATION FOR ACCESS TO SUBJECTS**

- SUBJECTS: STATUS (WARDS, RESIDENTS, EMPLOYEES, PATIENTS, ETC.) \_\_\_\_\_
- NUMBER \_\_\_\_\_ AGE RANGE \_\_\_\_\_
- NAME OF OFFICIAL (PLEASE PRINT) \_\_\_\_\_
- TITLE \_\_\_\_\_ TELEPHONE \_\_\_\_\_
- NAME AND ADDRESS OF  
— COOPERATING INSTITUTION \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- OFFICIAL SIGNATURE \_\_\_\_\_

NOTES: (e.g., report of modification in proposal as submitted to agency affecting human subjects involvement)

**Attachment G—Executive Order  
12372—State Single Points of Contact***Arizona*

Mrs. Janice Dunn, Attn: Arizona State Clearinghouse, 1800 N. Central Avenue, 14th Floor, Phoenix, Arizona 85012, Telephone (602) 280-1315

*Arkansas*

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*California*

Glenn Stober, Grants Coordinator, Office of Planning and Research, 1400 Tenth Street, Sacramento, California 95814, Telephone (916) 323-7480

*Delaware*

Ms. Francine Booth, State Single Point of Contact, Executive Department, Thomas Collins Building, Dover, Delaware 19903, Telephone (302) 736-3326

*District of Columbia*

Rodney T. Hallman, State Single Point of Contact, Office of Grants Management and Development, 717 14th Street, NW., Suite 500, Washington, DC 20005, Telephone (202) 727-6551

*Florida*

Florida State Clearinghouse, Intergovernmental Affairs Policy Unit, Executive Office of the Governor, Office of Planning and Budgeting, The Capitol, Tallahassee, Florida 32399-0001, Telephone (904) 488-8441

*Georgia*

Mr. Charles H. Badger, Administrator, Georgia State Clearinghouse, 254 Washington Street, SW., Atlanta, Georgia 30334, Telephone (404) 656-3855

*Illinois*

Steve Klockenga, State Single Point of Contact, Office of the Governor, 107 Stratton Building, Springfield, Illinois 62706, Telephone (217) 782-1671

*Indiana*

Jean S. Blackwell, Budget Director, State Budget Agency, 212 State House, Indianapolis, Indiana 46204, Telephone (317) 232-5610

*Iowa*

Mr. Steven R. McCann, Division of Community Progress, Iowa Department of Economic Development, 200 East Grand

Avenue, Des Moines, Iowa 50309, Telephone (515) 281-3725

*Kentucky*

Ronald W. Cook, Office of the Governor, Department of Local Government, 1024 Capitol Center Drive, Frankfort, Kentucky 40601, Telephone (502) 564-2382

*Maine*

Ms. Joyce Benson, State Planning Office, State House Station #38, Augusta, Maine 04333, Telephone (207) 289-3261

*Maryland*

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*Massachusetts*

Karen Arone, State Clearinghouse, Executive Office of Communities and Development, 100 Cambridge street, Room 1803, Boston, Massachusetts 02202, Telephone (617) 727-7001

*Michigan*

Richard S. Pastula, Director, Michigan Department of Commerce, Lansing, Michigan 48909, Telephone (517) 373-7356

*Mississippi*

Ms. Cathy Mallette, Clearinghouse Officer, Office of Federal Grant Management and Reporting, 301 West Pearl Street, Jackson, Mississippi 39203, Telephone (601) 960-2174

*Missouri*

Ms. Lois Pohl, Federal Assistance Clearinghouse, Office of Administration, PO Box 809, Room 430, Truman Building, Jefferson City, Missouri 65102, Telephone (314) 751-4834

*Nevada*

Department of Administration, State Clearinghouse, Capitol Complex, Carson City, Nevada 89710, Telephone (702) 687-4065, Attention: Ron Sparks, Clearinghouse Coordinator

*New Hampshire*

Mr. Jeffrey H. Taylor, Director, New Hampshire Office of State Planning, Attn: Intergovernmental Review, Process/James E. Bieber, 2½ Beacon Street, Concord, New Hampshire 03301, Telephone (603) 271-2155

*New Jersey*

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*New Mexico*

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*New York*

New York State Clearinghouse, Division of the Budget, State Capitol, Albany, New York 12224, Telephone (518) 474-1605

*North Carolina*

Mrs. Chrys Baggett, Director, Office of the Secretary of Admin., N.C. State Clearinghouse, 116 W. Jones Street, Raleigh, North Carolina 27603-8003, Telephone (919) 733-7232

*North Dakota*

N.D. Single Point of Contact, Office of Intergovernmental Assistance, Office of Management and Budget, 600 East Boulevard Avenue, Bismarck, North Dakota 58505-0170, Telephone (701) 224-2094

*Ohio*

Larry Weaver, State Single Point of Contact, State/Federal Funds Coordinator, State Clearinghouse, Office of Budget and Management, 30 East Broad Street, 34th Floor, Columbus, Ohio, 43266-0411, Telephone (614) 466-0698

*Rhode Island*

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Please direct correspondence and questions to: Review Coordinator, Office of Strategic Planning

*South Carolina*

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*Tennessee*

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Building, Nashville, Tennessee 37219,  
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#### *Texas*

Mr. Thomas Adams, Governor's Office  
of Budget and Planning, P.O. Box  
12428, Austin, Texas 78711,  
Telephone (512) 463-1778

#### *Utah*

Utah State Clearinghouse, Office of  
Planning and Budget, Attn: Carolyn  
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Lake City, Utah 84114, Telephone  
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#### *Vermont*

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#### *West Virginia*

Mr. Fred Cutlip, Director, Community  
Development Division, West Virginia  
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#### *Wisconsin*

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#### *Wyoming*

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#### *Northern Mariana Islands*

State Single Point of Contact, Planning  
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#### *Puerto Rico*

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#### *Virgin Islands*

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#### **Attachment H—State Developmental Disabilities Planning Councils**

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#### *Alaska*

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Council on Disabilities and Special  
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Anchorage, Alaska 99524-0249, (907)  
563-5355, FAX # (907) 563-5357

#### *Arizona*

Diane Skay, Director, Governor's  
Council on Developmental  
Disabilities, 1717 West Jefferson  
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Arizona 85007, (602) 542-4049, FAX  
# (602) 542-5339

#### *Arkansas*

Orson Berry, Executive Director,  
Governor's Developmental  
Disabilities, Planning Council, 4815  
West Markham, Slot 12, Little Rock,  
Arkansas 72205-3867, (501) 661-  
2589, FAX # (510) 661-2399

#### *California*

Roberta A. Marlowe, Ph.D., Executive  
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Developmental Disabilities, 2000 "O"  
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California 95814, (916) 322-8481,  
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#### *Colorado*

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Colorado Developmental Disabilities  
Planning Council, 777 Grant Street,  
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#### *Connecticut*

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on Developmental Disabilities, 90  
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Connecticut 06108, (203) 725-3829,  
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#### *Delaware*

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Developmental Disabilities Planning  
Council, Department of  
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Townsend Building, Dover, Delaware

19901, (302) 739-3333, FAX # (302)  
739-6704

#### *District of Columbia*

Carol Boykins, Executive Director,  
Developmental Disabilities State  
Planning Council, 801 N. Capitol  
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#### *Florida*

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#### *Georgia*

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#### *Hawaii*

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Council on Developmental  
Disabilities, Five Waterfront Plaza,  
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200, Honolulu, Hawaii 96813, (808)  
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#### *Idaho*

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Council on Developmental  
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#### *Illinois*

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#### *Indiana*

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233-3712

#### *Iowa*

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Moines, Iowa 50319, (515) 281-7632,  
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**Kansas**

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Kansas Planning Council on  
Developmental Disabilities, 915  
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296-1158

**Kentucky**

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4419

**Maine**

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Maine Developmental Disabilities  
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**Maryland**

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Maryland State Planning Council on  
Developmental Disabilities, One  
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**Massachusetts**

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**Michigan**

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334-6123, 7240, FAX # (517) 334-  
7353

**Minnesota**

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Director, Governor's Planning Council  
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3698

**Mississippi**

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Developmental Disabilities Planning  
Council, 1101 Robert E. Lee Building,  
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**Missouri**

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Planning Council for Developmental  
Disabilities, P.O. Box 687, 1706 East  
Elm Street, Jefferson City, Missouri  
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751-9207

**Montana**

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Developmental Disabilities Planning  
and Advisory Council, 111 N. Last  
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**Nebraska**

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Health/Developmental Disabilities,  
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**Nevada**

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Dept. of Rehab., 711 S. Stewart,  
Carson City, Nevada 89710, (702)  
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**New Hampshire**

Thomas Flayton, (Acting) Executive  
Director, New Hampshire  
Developmental Disabilities Council,  
The Concord Center—Room 315, P.O.  
Box 315, 10 Ferry Street, Concord,  
New Hampshire 03301-5022, (603)  
271-3236, 7, 8, FAX # (603) 225-6766

**Pennsylvania**

David B. Schwartz, Executive Director,  
Developmental Disabilities Planning  
Council, Forum Building, Room 569,  
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Pennsylvania 17120, (717) 787-6057

**Rhode Island**

Marie V. Citrone, Executive Director,  
Rhode Island Developmental  
Disabilities Council, State Executive  
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Avenue, Cranston, Rhode Island  
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**Oklahoma**

Ann Trudgeon, Director, Developmental  
Disabilities Planning Council,  
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73125-0352, (405) 521-4984(5), FAX  
# (405) 521-6684

**Oregon**

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Oregon Developmental Disabilities  
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373-7555, FAX # (503) 373-7172

**North Dakota**

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**Ohio**

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Ohio Developmental Disabilities  
Planning Council, Department of  
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Disabilities, 8 East Long Street, 6th  
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**New York**

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York State Developmental Disabilities  
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**New Jersey**

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**New Mexico**

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**South Carolina**

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South Carolina 29201-3731, (803)  
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*South Dakota*

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*Tennessee*

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*Texas*

Roger A. Webb, Executive Director, Texas Planning Council for Developmental Disabilities, 4900 North Lamar Blvd., Austin, Texas 78751-2399, (512) 483-4080, FAX # (512) 483-4097

*Utah*

Catherine E. Chambless, Director, Utah Governor's Council for People with Disabilities, P.O. Box 1958, Salt Lake City, Utah 84110-1958, (801) 533-4128, FAX # (801) 533-5302

*Vermont*

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*West Virginia*

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*Wisconsin*

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*Virginia*

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*Washington*

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*Wyoming*

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*National Office*

Ms. Susan Ames-Zierman, Executive Director, National Association of Developmental Disabilities Councils (NADDC), 1234 Massachusetts Avenue NE., Suite 103, Washington, DC 20005, (202) 347-1234, FAX # (202) 347-4023

*TERRITORIES (DDCs)**American Samoa*

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*Commonwealth of the Northern Mariana Islands*

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*Government of Federated State of Micronesia*

Yosiro Suta, Gov't of Federated States of Micronesia, Dept of Ed., Palikir, Pohnpei, FM 96941, (691) 320-2609, FAX # (691) 320-5500

*Guam*

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*Northern Mariana Islands*

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*Puerto Rico*

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*Virgin Islands*

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*Western Carolina Islands (Trust Territories of the Pacific)*

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